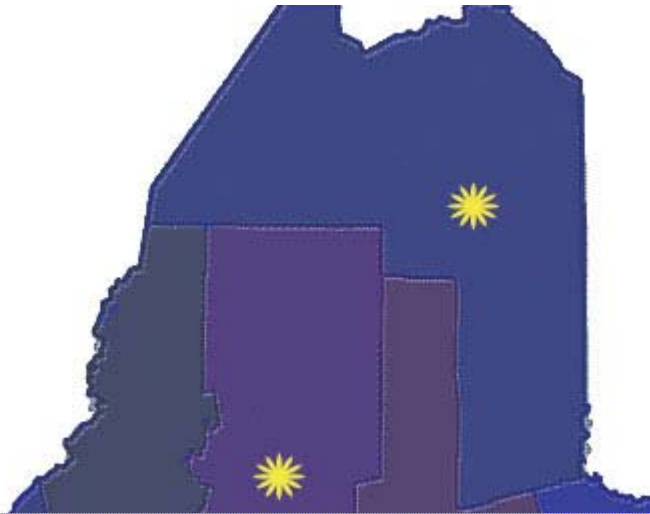


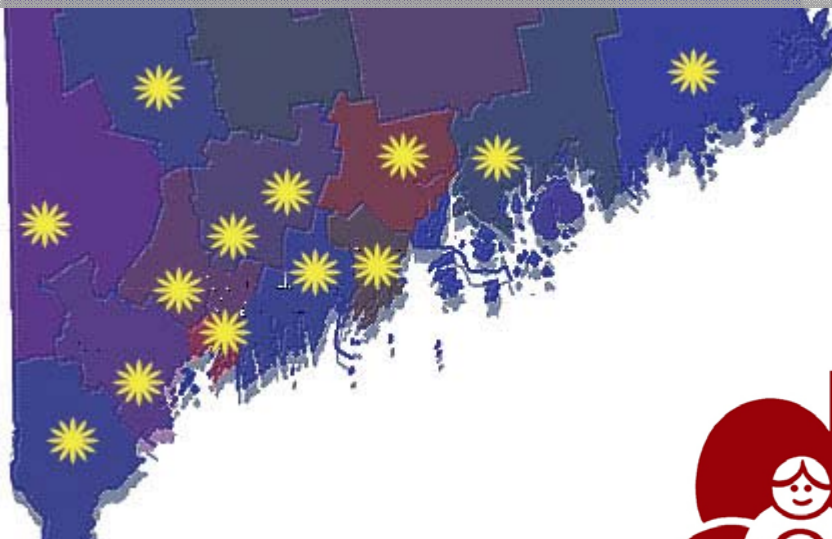
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Maine



FFY 2008

ANNUAL PERFORMANCE REPORT (IDEA PART C)



July 1, 2008 – June 30, 2009

Child Development Services

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Part C State Annual Performance Report (APR) for FFY2008

The APR that follows presents the indicator performance in a consistent design that will enable the reader to follow the discussion and quickly determine specific details of the report. The indicators are presented on the OSEP defined template design for the APR for most indicators. As required for FFY2008, indicator 3 is presented on the SPP template and includes baseline data and targets for the remainder of the SPP. In order to highlight key aspects of the report, color and font selections were used for specific data and passages. The chart below provides a legend for the formats used throughout the document.

Legend

<i>Measurable and Rigorous Target data are presented in each indicator in this style (Arial, 10 pt, blue, italic)</i>
Actual performance/compliance data for FFY 2007 are presented in each indicator in this font style (Arial, 10 pt, brown)
OSEP's Response Letter and Table, received June 1, 2009, requested a specific response in Maine's February 1, 2010 APR for certain indicators. Responses are integrated into the narrative for each indicator requiring a response.
Indicator 3 is reported on the SPP template. The narrative of the indicator is formatted in the same text styles as were used in the APR but in a single color (purple) to differentiate it from the APR template. Data elements are formatted as indicated above.

Several indicators update SPP Improvement Activities. Those changes are described in the **"Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2008:"** section of the indicator narrative and have been edited into the SPP. The APR and the updated SPP will be posted on the Maine Department of Education website located at URL <http://www.maine.gov/education/speced/spp/index.html> by February 12, 2010.

Part C State Annual Performance Report (APR) for FFY2008

Overview of the Annual Performance Report Development

This Annual Performance Report (APR) is the fourth report of the progress toward the targets established in the State Performance Plan (SPP) on December 2, 2005. This APR represents the fourth year of progress towards the Measureable and Rigorous Targets established in the SPP for all indicators. Child Development Services (CDS) provides data and analysis for all of the Part C indicators and some of the Part B indicators due to the symbiotic nature of our relationship with the Maine Department of Education (MDOE). CDS is the governmental entity that serves as an Individual Educational Unit (IEU) of the MDOE. The MDOE Commissioner “shall establish and supervise the state intermediate educational unit. The state intermediate educational unit is established as a body corporate and politic and as a public instrumentality of the State for the purpose of conducting child find activities as provided in 20 United States Code, Section 1412 (a) (3) for children from birth to under 6 years of age, ensuring the provision of early intervention services for eligible children from birth to under 3 years of age and ensuring a free, appropriate public education for eligible children at least 3 years of age and under 6 years of age.” MRSA 20- A~7209.1.E (3)

Stakeholder Group Activities

Maine Advisory Council on the Education of Children with Disabilities (MACECD) is the stakeholder group providing guidance and support to the MDOE in implementing the State Performance Plan (SPP). As a group of dedicated volunteers with the best interests of children with disabilities ages birth through 20 in mind, the committee started its year with a two day planning meeting. The Council began its work on the Annual Performance Report (APR) and the SPP. They were asked by the MDOE to look at the documents with a critical eye and assess what needed to be addressed in order to insure accurate and adequate service delivery to the children receiving Early Intervention and Special Education Services in the State of Maine.

An early task in the two day planning meeting was the formation of four committees to concentrate on specific sub-sets of the indicators for the year: Due Process and Quality Assurance Monitoring (B-15 through B-20, C-9 through C-14); Early Transition (C-2 through C-8, B-6 and B-12); Student Performance (B-1 through B-7, B-14); and Evaluation, Services and Treatment (C-1, C-7, B-8 through B-10). Along with Council Coordination (the steering committee) and the full Council, these committees meet once a month in Augusta. The committees assess data and make advisory recommendations to the Commissioner of Education on unmet needs in their respective subject areas. The recommendations are addressed and integrated into the operational execution of the MDOE and CDS (program review, dispute resolution, funding, technical assistance, professional development, Case-e data system, monitoring, regional CDS site operations, and discretionary programs) to improve support to children with disabilities statewide.

Child Development Services System Changes

CDS has undergone gone significant structural, fiscal, and human resource changes as a result of legislative action in each year since 2006. A structural analysis of the changes was included in the APR submitted for FFY2006. This structure has been retained relatively unchanged for the past year which has supported stability in the system for the first time in four years. Stability, however, in no way intimates status quo for this system. The system has faced a number of challenges during the past year and has emerged as an entity with growing resiliency. During FFY2008 CDS was involved in the following initiatives:

- The centralization of the fiscal process for the system received a clean audit for all regional sites and for the CDS State IEU (Child Development Services State Intermediate Educational Unit).
- The Case-e data system has undergone continuing improvements which support our ongoing oversight of the interrelationship of the fiscal, data, and monitoring systems and supports data gathering for the APR.
- The CDS website has continued to change and serves as an emerging representation of the intricacies of our system.
- The web based system for the applications for local entitlement plans is revised annually to reflect statutory and organizational changes as well as SPP/APR requirements.
- The Targeted Technical Assistance and Professional Development Calendar of Events is maintained and available on the website. Letters of Findings and Corrective Action Plans are available on the website.
- A training committee comprised of regional representatives and CDS State IEU personnel oversees the professional development needs of the system and serves as an oversight committee for the expenditure of Part C ARRA funds.
- Collaborations with other state agencies were supported by the CDS State IEU to heighten our visibility as an early intervention entity within the greater State of Maine system of services to children birth to five.
- The State Level Advisory Board continues to meet monthly regarding the interface between regional site activities and the general supervision requirements of the CDS State IEU.
- A team completed work on a revision of our state mandated IFSP form and accompanying guidance materials.
- The Birth to Five General Supervision System Team (GSST) expanded to work with a birth to 20 GSST team. This group utilized the Part C and Part B Critical Elements Analysis Guide (CrEAG) to review our system plan.
- Year 2 site monitoring was completed for all sites with a completion date of June 30, 2009.
- Administrative and Informational Letters were developed to provide policy direction.
- Three sites reorganized to become two as of July 1, 2009 reducing the number of sites to 15 for FFY2009.

Public reporting

Data profile designs based on the 2007-2008 performance and compliance data were developed for each Early Intervention Services (EIS) site and Local Educational Agency (LEA) in the state. The profiles provide indicator specific performance and compliance data to the

EIS/LEA and to the public for use in program improvement. EIS/LEA performance profiles will be made public with Informational Letters to the field.

The EIS/LEA profiles are used as the basis for determinations of EIS and LEA program performance. Each indicator is evaluated for level of determination to provide the local agency with measurement specific feedback on their implementation of IDEA with regard to the SPP indicators. The individual determinations are then used to develop an overall determination to the requirements of the State Performance Plan (SPP) in one of the four required categories: Meets Requirements; Needs Assistance; Needs Intervention; or Needs Substantial Intervention. These determinations set the level of support and intervention provided under the CDS General Supervision System which is discussed further in the section for indicator C9.

During the FFY2008 year, all 16 of the CDS sites received on-site monitoring and Letters of Findings were issued for areas of noncompliance. The Letters of Findings were made public and made available on the CDS website.

Alignment with National Technical Assistance Resources

Maine contracts with technical assistance, professional development and dissemination resources throughout the state to provide scientifically based materials and instruction to educators, parents and interested parties. Contracts developed with contractors during FFY2008 included an objective requiring the Provider to serve as a liaison between the MDOE and national technical assistance centers that provide scientifically researched based resources that can be useful for Local Education Agencies (LEAs). All contractors providing technical assistance to LEAs in the state are aligned with and engaging the services of national technical assistance centers in order to provide the most current best practice available.

Additionally, CDS has requested assistance in the areas of LRE for children three to five, natural environment birth to two, Expanding Inclusion Opportunities, child outcomes (COSF), transition C to B and preschool to kindergarten, General Supervision System, APR assistance, and data analysis from the Northeast Regional Resource Center (NERRC), NECTAC, OSEP, Early Childhood Outcomes (ECO) Center, ITCA, and WESTAT. CDS State IEU personnel participate in OSEP, NECTAC, and NERRC teleconferences as frequently as possible. Maine CDS applied for and was chosen by ECO to be part of the framework partnership work that is underway.

The CDS State IEU was represented at the Data Managers Conference in June 2009, the NERRC Part C Virtual Conference in June 2009, The ECO Conference in June 2009, the Leadership Conference in DC August 2008, The Part C and 619 Coordinators Conference in DC in December 2009 and the WESTAT National Accountability Center Advisory Board meeting November 2009 (State Director is a member of this board).

Future Steps

The CDS State IEU continues to support the equitable and efficient provision of services under IDEA to children birth to 5 in the State of Maine. The infrastructure developed at the State IEU provides a basis for the work. The local response to the GSST work has been positive and the

sites are making strategic changes to support growth towards indicators. The State IEU works closely with the regional site directors to increase regional understanding and support for the SPP Indicators and child outcomes.

Federal Fiscal Year 2008 Part C Annual Performance Report

Summary of Progress toward Maine's State Performance Plan

SPP Indicator	FFY 2007 Performance				FFY 2008 Target	FFY 2008 Performance			
1. Timely Intervention	94.5%				100%	91%			
2. Typically Developing	87%				93%	90%			
3. Developmental Outcomes (0-2)		A.	B.	C.	No Target		A.	B.	C.
	did not improve	31%	31%	18%		did not improve	16%	12%	17%
	improved not nearer	24%	29%	23%		improved not nearer	25%	26%	24%
	improved nearer	16%	24%	16%		improved nearer	20%	36%	22%
	improved comparable	14%	3%	16%		improved comparable	28%	21%	21%
	maintained	16%	14%	27%		maintained	17%	5%	17%
	4. Parental Involvement	A.	B.	C.		89%	A.	B.	C.
85%		79%	85%	88%	92%		92%		
5. 0-1 Eligibility	0.71%				0.75%	0.52%			
6. 0-3 Eligibility	2.38%				2.55%	2.29%			
7. On-time Evaluation	91.1%				100%	70%			
8. Transition Planning	IEP/IFSP		83.5%		100%	IEP/IFSP		79%	
	LEA notification		100%			LEA notification		100%	
	Transition Conf.		60%			Transition Conf.		56%	
9. Compliance Monitoring	0%				100%	72.7%			
10. Complaints	n/a ¹				100%	100%			
11. Hearings	n/a ¹				100%	n/a ¹			
12. Resolution Sessions	n/a ¹				n/a ¹	n/a ¹			
13. Mediations	n/a ¹				78% ¹	100%			
14. Reporting	100%				100%	100%			

¹ Target is the value established for Part B since the same Due Process resolution process is used.

Part C State Annual Performance Report (APR) for FFY 2008

Overview of the Annual Performance Report Development:

Monitoring Priority: Early Intervention Services In Natural Environments

Indicator1: *Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner. :*

Measurement:

Percent = [(# of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner) divided by the (total # of infants and toddlers with IFSPs)] times 100.

Account for untimely receipt of services, including the reasons for delays.

Percent = [(1323 timely manner) ÷ (1452 with IFSPs)] times 100 = 91%

Reasons For Delay	Count
CDS	35
No available openings	66
No provider available	27
Provider Interruption.	1
Total	129

FFY	Measurable and Rigorous Target
FFY2008	100%
FFY	Actual Target Data for FFY2008
FFY2008	91%

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2008:

The methodology has been revised to assure that data are compiled for all children and are not based on an average. (See the method described below.)

Over the last year, the CDS State IEU Data Manager continued to hold weekly webinars with a variety of regional personnel who use the Case-e data system. These webinars are interactive and provide an opportunity for learning, troubleshooting and questions to be answered. Staff who have participated indicate these sessions have been useful. As the system changes and is updated, the scheduled webinars provide a predictable training time to discuss these updates.

Additionally, this training provides the CDS State IEU with ongoing input regarding areas that need correction or improvement.

Timely delivery of services is continually stressed during the above webinars, through monitoring visits and on site trainings. This is addressed with all staff and with staff who are charged to enter the information into the data system.

At the regional sites there are a variety of personnel who are tasked with ensuring children receive services indicated on their IFSP in a timely manner. These personnel include some data coordinators and office managers but primarily case managers. Whether or not the individual is directly involved in the process that aligns children with providers they are important links in the communication process that enables other personnel to understand the relevance of their work in relation to children, the CDS system and the importance of meeting the required timelines.

The data system allows the CDS State IEU staff to monitor service status periodically. The regional sites are required to submit monthly reports on services that are not delivered in a timely manor. Requiring the sites to compile this information monthly, supports awareness regarding the importance of providing children and families with the services, indicated by the team, in a timely fashion. The CDS State IEU is scheduled to expand this review by the sites. In February 2010, the CDS State IEU will send out a policy letter that will require the sites to provide their monthly data and to review it against the data system to assure validity. Data based on this indicator is discussed at each Regional Site Board meeting, is documented in board meeting minutes, and is included in monitoring visits and reports.

The CDS State IEU is concerned that performance in providing the early intervention services on IFSPs in a timely manner has decreased for two years in a row, first from 95.4% FFY2006 to 94.5% in FFY2007 and then again from 94.5% FFY2007 to 91% in FFY2008. The CDS State IEU monitoring team and Management Team have analyzed this data and for FFY2007 have included relevant comments and information in site's Letters of Findings. The number of Findings and Corrections for FFY2008 can be reviewed in indicator 9. The CDS IEU required corrective action plans and continues to follow-up with sites that were issued a finding to ensure that corrective action plans are being attended to and corrections are being made to improve the provision of timely services.

Through the on-site monitoring process and desk audits, the CDS State IEU has verified each of the sites providing Early Intervention Services found to be out of compliance in FFY2007 is correctly implementing the specific regulatory requirements and has initiated services for each child, although late, unless the child is no longer within the jurisdiction of the CDS program.

Over the last few years Maine has changed its method of delivering early intervention services. Training has been provided on the utilization of Evidence Based Early Intervention Practices; also referred to as Primary Service Provider (PSP). The introduction of this service delivery concept met the usual challenges of any change process. Some employed and contracted

providers have readily adopted the model as a way to provide another method of service delivery to children and families in Part C. For others, the model reflects changes they are uncomfortable with and it has proven to be difficult for those services providers who continue to support service provision by each therapy domain, often in clinic settings outside the natural environment.

Changes to Maine Unified Special Education Regulation (MUSER) in August 2007 included the Primary Service Provider model as a method to provide services to children for whom teams determined it was appropriate. The changes made to this section in emergency regulations that went into effect January 19, 2010

http://www.maine.gov/tools/whatsnew/index.php?topic=edu_letters&id=89284&v=article provide further clarification of the use of this model to assist teams to utilize it where an IFSP team considers it the appropriate recommendation for a child.

Funding issues provide challenges to timely provision of services in natural environments. CDS has been level funded for the past three years and is currently facing a significant budget cut for the next fiscal year. The MaineCare system, a major payer for early intervention services, is cutting back on the services for which it will reimburse.

Two examples of MaineCare reimbursement issues are targeted case management and transportation. CDS can no longer bill for the targeted case management services it provides that were covered under MaineCare as medically necessary. This shortfall is absorbed by sites. Wherever possible, tasks associated with this system that are not part of Part C case management are identified and will cease, freeing up time for case managers to concentrate on only Part C required case management.

Transportation is an issue. Many rural areas of Maine require a significant amount of travel time from one point to another. MaineCare lacks provision for reimbursement for all travel. CDS site boards either support extra travel time or mileage reimbursement for providers. Regardless, some contracted providers indicate this makes working in the natural environment fiscally impossible for them to continue and choose not to continue to work with CDS. CDS encourages the governing boards of local CDS sites to authorize the use of any alternate sources of funds available to them to pay providers for travel time or for mileage. This helps to encourage providers to serve children they might consider not serving due to transportation issues.

Transition to the Evidence Based Practices model for service delivery where it is deemed appropriate for a child in Part C may have, in its initial implementation phase, contributed to the delay of some services due to ease of facilitation by CDS but it is proving now to allow for more effective and efficient delivery of services. Successful partnership with the MaineCare system to support this change will support CDS and private providers to successfully partner in this endeavor. Discussions continue between MaineCare and CDS regarding how providers in this model can be reimbursed.

As sites effectively institute the practices, they have reported an increase in staff and provider acceptance of the model. Where the model is accepted and utilized with fidelity and support, families are beginning to share stories of success and satisfaction with the model. The conclusion we take from this is that once all sites are fully trained and supportive of this model of service delivery, it will provide quicker delivery of services for all children and we are confident that it will be a contributor in our efforts to provide timely services for all children. Training of site personnel and contracted providers in this model is ongoing.

The PSP model will help with funding source issues as it is a more efficient model for the use of available resources. Consolidation of CDS sites is under development which will also help address this issue.

CDS currently provides evidence of its efficiency and the benefits it provides in its current structure to legislators and others to help inform them about the issues that are under consideration related to the decision that will be made by the legislature regarding changes to its structure.

The CDS State IEU has hired a Part C Technical Assistance Advisor to work with regional sites on Part C Performance and Compliance Issues. The Part C Technical Assistance Advisor's role is to monitor, train and move the Evidence Based Early Intervention Practices to the next level.

Correction of FFY 2007 Findings of Noncompliance (if State reported less than 100% compliance):
Level of compliance (actual target data) State reported for FFY 2007 for this indicator: 94.5%

1. Number of findings of noncompliance the State made during FFY 2007 (the period from July 1, 2007, through June 30, 2008)	12
2. Number of FFY 2007 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	1
3. Number of FFY 2007 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	11

Correction of FFY 2007 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance):

4. Number of FFY 2007 findings not timely corrected (same as the number from (3) above)	11
5. Number of FFY 2007 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction")	0
6. Number of FFY 2007 findings <u>not</u> verified as corrected [(4) minus (5)]	11

Actions Taken for Noncompliance Not Corrected:

For FFY 2007 findings remaining open, the following activities were taken:

- Sites submitted reports of unmet needs monthly to the CDS State IEU.
- Data was reviewed by the CDS State IEU.
- Corrective Action Plans were required.
- Sites were required to include goals in ARRA applications to address areas with outstanding noncompliance.
- Weekly webinars were conducted with individuals who routinely enter and use the Case-e data system. These webinars were interactive and provided an opportunity for clarifying conversations between regional site personnel and the CDS State IEU Data Manager.
- The CDS State IEU contracted with two individuals to provide training to regional sites in the areas of uncorrected noncompliance.

Verification of Correction (either timely or subsequent):

As required by OSEP Memorandum 09-02, prior to issuing notification that a finding of noncompliance was corrected, Maine verified that each CDS Site, with noncompliance identified in FFY 2007:

1. Was correctly implementing the specific regulatory requirements. Maine verified this by collecting subsequent data related to any regulatory requirement where noncompliance was identified. The amount of subsequent data collected was dependent on many factors including the level of noncompliance, historical data from the CDS site on compliance with the specific requirement and the number of children served in the CDS site. Maine required that subsequent data show compliance (100%); and
2. Had corrected each individual case of noncompliance, unless the child was no longer within the jurisdiction of the CDS site. Maine reviewed child records, identified as having noncompliance, to ensure correction of each individual case of noncompliance. Through the on-site monitoring process and desk audits, the CDS State IEU has verified each of the sites providing Early Intervention Services found to be out of compliance in FFY2007 is correctly implementing the specific regulatory requirements and has initiated services for each child, although late, unless the child is no longer within the jurisdiction of the CDS program.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2008:

As with previous years, the data represents data for the federal fiscal year of the report, for this year the period is 7/1/08 – 6/30/09.

This year marks a change in the data source of the reported data, previous years have relied on monthly reports from the CDS sites for the data. Previously, unmet needs, that is, services prescribed on children's plans that were for some reason not being delivered, were collected at

each site by their own methods and reported monthly to the state data analyst and used to determine the percent of children who receive timely services. The Case-e data system was the sole source of the data in this indicator this year. As has been noted and described in previous submissions of the APR Case-e is the central data system that all CDS sites use. The data related to unmet needs and prescribed services was gathered through Case-e.

The method used to determine how many children received timely services in the period 7/1/08 – 6/30/09.

- Denominator:
 - Select all the plans and all the related services in the period.
 - The count of children represented in the selection will be the denominator.
- Numerator:
 - Select children with services that are marked as unmet in the period.
 - Select children who have services marked as being unmet due to “Family circumstances”.
 - Remove from the group of children with services marked as unmet, any child whose services are all marked as “unmet” due to “Family circumstances”.
 - The numerator for the calculation is all children in the denominator minus children with services unmet for any circumstance other than “Family circumstances”.
- Calculation:
 - (The Numerator divided by the Denominator) times 100

This year there were 10 children who had unmet needs due to “Family circumstances”, only 7 of them were excluded from the numerator.

Previously, the data reported monthly by the sites was used to determine the number of children who had services that were unmet. The data reported focused on 4 major service classifications and a catchall group of all other service classifications so that all children were reported. The children in the denominator minus the children reported by the sites formed the numerator of the calculation. The numerator excluded children with unmet needs due to “Family circumstances” because the unmet needs reports did not include reasons why the need was unmet. The denominator, derived from Case-e data, included children with “Family circumstances.” We were able to calculate the percent of children who received timely services monthly with that method. The data was not reported with a child identifier, so it was not possible to determine which children were represented in any given monthly report. As we were not able to determine which children were in the monthly reports we could not aggregate the children from the monthly reports into a number that represented the number of children who received timely services for the 12 month APR period. Using data from Case-e to determine which children to include in the numerator removed that problem.

Reasons For Delay	Definition
CDS	Systemic circumstances not attributable to provider shortages.
No available openings	None of the available providers were able to provide services during the specified timeframes.
No provider available	There were no providers of the necessary service type available.
Provider Interruption.	A service in progress was disrupted due to the loss of a provider.
Family	Delays attributable to documented exceptional "Family" circumstances.

Unmet needs are still reported by all sites monthly, they are also reflected in the board minutes for the regional sites and included in our monitoring file review data, but they are no longer the sole source of data for this indicator.

Part C State Annual Performance Report (APR) for FFY 2008

Overview of the Annual Performance Report Development:

Monitoring Priority: Early Intervention Services In Natural Environments

Indicator 2: *Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings.*

Measurement:

Percent = [(# of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings) divided by the (total # of infants and toddlers with IFSPs)] times 100.

Percent = [(888 typically developing) ÷ (982 with IFSPs)] times 100 = 90%

FFY	Measurable and Rigorous Target
FFY2008	93%
FFY	Actual Target Data for FFY2008
FFY2008	90%

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2008:

The State has increased compliance in C2 by 3% since the FFY2007 APR. The State has increased from 87% compliance to 90%.

The CDS State IEU continues to support regional sites to recruit and retain qualified providers to assure services are available for children and families in their home or community-based setting. In addition to this support the CDS State IEU provided training in Evidence Based Early Intervention Practices; also referred to as Primary Service Provider. Two training sessions occurred over three days in September 2009. The training was presented by M'Lisa Sheldon and Dathan Rush from Sheldon and Rush, LLC. Six sites were selected to participate in a two day intensive training opportunity by sending teams of professionals to receive training on the model. The participants received hands on coaching, training and guidance on ensuring fidelity of practice. The third day was open to all 15 sites to receive follow up guidance from the introductory two day trainings held in December 2008.

The CDS State IEU has hired, with ARRA funds, a .60 FTE Part C Technical Assistance Advisor (TAA) who provides support to all sites for this model. The six sites who received intensive training are also receiving six months of structured follow up to the training including reviews of contact logs used with families. Individuals from those sites will form a cadre of trained

individuals who can assist the other sites as they progress. The Part C TAA facilitates a less intense level of support to the remaining sites with assistance from the Center for Community Inclusion and Disability Studies (Our USED partner). Additionally, the Part C TAA is creating documents that define the method for use by local sites with parents, providers, physicians, and other stakeholders. Our intent is to provide information that will foster acceptance of the model by stakeholders by clarifying the benefits of the model and thus reduce resistance to it which may be based on misunderstanding and /or misinformation. The Part C TAA has established rapport with the sites and our plan is to continue this model another year on a full time basis with the use of Part C ARRA funds.

The Maine Advisory Council on the Education of Children with Disabilities (MACECD) in a letter to the Commissioner of Education dated November 24, 2008 recommended the MDOE support and encourage the "Primary Service Provider Model" in the delivery of services to children. The expected impact of the recommendation from MACECD indicates: Reduction of noncompliance in service delivery.

The MDOE/CDS participates in and co-leads with our partner agency, Department of Health and Human Services/Office of Family Services (Head Start and Day Care) in the Expanding Inclusive Opportunities initiative supported by NECTAC. A diverse group of stakeholders including professionals from a variety of state agencies and programs, parents, and providers has joined to support the work of Expanding Inclusive Opportunities to all children birth to five in Maine. The natural environment options are included in the work of this group. Over the course of the next two years the Expanding Inclusive Opportunities initiative has focused their work to meet 4 primary goals to ensure all children are supported in Inclusive Settings. The work of this collaboration can be reviewed at <http://www.umaine.edu/ExpandInclusiveOpp/default.htm>.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2008:

Improvement Activities	Timelines						Resources
	FFY Year when activities will occur						
	05	06	07	08	09	10	
Settings data will be monitored to assure that children are served in the home or in community settings, the natural environments. For personnel who develop IFSP/IEPs, provide training on strategies to assure that children are served in a home or community setting.	X	X	X	X	X	X	

Data personnel in the reporting sites will continue to receive regular professional development to assure that the data sustains high accuracy regarding settings data definitions. Monitor and assess data collection method, data definitions, and reporting requirements to insure consistent and compatible criteria are applied for all children.	X	X	X	X	X	X	
Sites will continue to recruit and retain qualified service providers throughout the state in order to assure availability of service in all communities and rural regions.	X	X	X	X	X	X	
Continue to evaluate service delivery mechanisms to assure that they focus on the natural environment.	X				X	X	During the development of the SPP, one of the largest stakeholders in the process, the Stakeholder Group, has taken a strong interest in this indicator and will be focusing its resources on helping to develop an effective delivery system.
Develop policies that align the sites in service delivery practices.	X				X	X	
For personnel who develop IFSP/IEPs, provide training on strategies to assure that children are served in a home or community setting.	X				X	X	
A sub-group of CDS site directors and representatives of Maine's community of contracted providers meets regularly to help stay aligned with their combined task of providing services for Maine's children in need. They will be looking for ways to ensure the delivery of services in the home or in community settings.	X						

Building on outcomes from the first year's interactions with site directors and providers, continue to develop policies and procedures that encourage the delivery of services in the home or in community settings.		X					
As changes continue in the CDS system, settings data will be monitored to ensure that children are served in the home or in community settings, the natural environments.		X					
Continue ongoing data collection and evaluation.			X				
Monitor settings' status through quarterly reports based on of active IFSPs.			X	X	X	X	
Review the goals of this indicator and reevaluate all facets of data delivery and current practices to assure alignment.				X			
Modify the system as needed.				X	X	X	
Review targets.				X	X	X	
Continue ongoing monitoring using procedures developed and refined in the prior years.				X	X	X	

Part C State Performance Plan (SPP) for 2005-2010

Overview of the State Performance Plan Development:

(The following items are to be completed for each monitoring priority/indicator.)

Monitoring Priority: Early Intervention Services In Natural Environments

Indicator 3: *Percent of infants and toddlers with IFSPs who demonstrate improved:*

- A.** *Positive social-emotional skills (including social relationships);*
- B.** *Acquisition and use of knowledge and skills (including early language/communication); and*
- C.** *Use of appropriate behaviors to meet their needs.*

Measurement:

Progress categories for A, B and C:

- a. Percent of infants and toddlers who did not improve functioning = $[(\# \text{ of infants and toddlers who did not improve functioning}) \div (\# \text{ of infants and toddlers with IFSPs assessed})] \times 100$.
- b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers = $[(\# \text{ of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers}) \div (\# \text{ of infants and toddlers with IFSPs assessed})] \times 100$.
- c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it = $[(\# \text{ of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it}) \div (\# \text{ of infants and toddlers with IFSPs assessed})] \times 100$.
- d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers = $[(\# \text{ of infants and toddlers who improved functioning to reach a level comparable to same-aged peers}) \div (\# \text{ of infants and toddlers with IFSPs assessed})] \times 100$.
- e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers = $[(\# \text{ of infants and toddlers who maintained functioning at a level comparable to same-aged peers}) \div (\# \text{ of infants and toddlers with IFSPs assessed})] \times 100$.

Summary Statements for Each of the Three Outcomes (use for FFY 2008-2009 reporting):

Summary Statement 1: Of those infants and toddlers who entered or exited early intervention below age expectations in each Outcome, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program.

Measurement for Summary Statement 1:

Percent = $\# \text{ of infants and toddlers reported in progress category (c) plus } \# \text{ of infants and toddlers reported in category (d) divided by } [\# \text{ of infants and toddlers reported in progress category (a) plus } \# \text{ of infants and toddlers reported in progress category (b) plus } \# \text{ of infants and toddlers reported in progress category (c) plus } \# \text{ of infants and toddlers reported in progress category (d)}] \times 100$.

Summary Statement 2: The percent of infants and toddlers who were functioning within age expectations in each Outcome by the time they turned 3 years of age or exited the program.

Measurement for Summary Statement 2: Percent = $\# \text{ of infants and toddlers reported in progress category (d) plus } \# \text{ of infants and toddlers reported in progress category (e) divided by the } [\text{total } \# \text{ of infants and toddlers reported in progress categories (a) + (b) + (c) + (d) + (e)}] \times 100$.

A. Positive social-emotional skills (including social relationships):	Number of children	% of children
a. Percent of infants and toddlers who did not improve functioning	19	15.7
b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	30	24.8
c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach	24	19.8
d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	28	23.1
e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers	20	16.5
Total	N=121	100%
B. Acquisition and use of knowledge and skills (including early language/communication):	Number of children	% of children
a. Percent of infants and toddlers who did not improve functioning	15	12.4
b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	32	26.4
c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach	43	35.5
d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	25	20.7
e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers	6	5.0
Total	N=121	100%
C. Use of appropriate behaviors to meet their needs:	Number of children	% of children
a. Percent of infants and toddlers who did not improve functioning	20	16.5
b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	29	24.0
c. Percent of infants and toddlers who improved	27	22.3

functioning to a level nearer to same-aged peers but did not reach		
d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	25	20.7
e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers	20	16.5
Total	N=121	100%

Summary Statements	% of children
Outcome A: Positive social-emotional skills (including social relationships)	
1. Of those children who entered or exited the program below age expectations in Outcome A, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program	51.5
2. The percent of children who were functioning within age expectations in Outcome A by the time they turned 3 years of age or exited the program	39.7

Outcome B: Acquisition and use of knowledge and skills (including early language/communication and early literacy)	
1. Of those children who entered or exited the program below age expectations in Outcome B, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program	59.1
2. The percent of children who were functioning within age expectations in Outcome B by the time they turned 3 years of age or exited the program	25.6
Outcome C: Use of appropriate behaviors to meet their needs	
1. Of those children who entered or exited the program below age expectations in Outcome C, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program	51.5
2. The percent of children who were functioning within age expectations in Outcome C by the time they turned 3 years of age or exited the program	37.2

Overview of Issue/Description of System or Process:

CDS has been involved in the use of the Child Outcomes Summary Form (COSF) since 2005. Since that time we have moved from three sites piloting the COSF to all sites submitting the COSF. The state has adopted the use of the ECO COSF with minor adaptations to the identifying information. Training has occurred with staff from ECO and NECTAC on two occasions.

Trainings with ECO and NECTAC occurred in January 2007 and in November 2008. Since that time ongoing technical assistance has occurred through Lunch and Learn sessions and by regular contact between the CDS State IEU and the regional site personnel. The first Administrative Letter that was given to the regional sites indicates their responsibility for COSF was effective April 1, 2007 (Administrative Letter #2 <http://www.maine.gov/education/speced/cds/adminltrs/ltr2cosf.pdf>). An updated Administrative Letter has gone into effect as of February 4, 2009 (Administrative Letter #14 <http://www.maine.gov/education/speced/cds/adminltrs/adminlet14.pdf>). With Administrative Letter #14 regional sites were provided with an updated decision tree, guidelines, and a developmental milestone checklist. The most recent guidance documents were developed by personnel who attended the November 2008 training. Since that training we have moved from having all COSFs submitted on paper with a staff person at the CDS State IEU entering them into a database to having all the forms submitted electronically. This transition has provided CDS State IEU staff additional time to review the information being submitted for accuracy and completeness. The form has been modified throughout the year to ensure information collected is accurate and reliable. In FFY2007, 59 children were assessed and in FFY2008, 121 children were assessed.

In addition to the technical assistance and training provided to the regional site personnel, the CDS State IEU has been chosen to be one of the seven Framework Partner States through ECO. With the assistance of Maine's ECO support team, the CDS State IEU has identified goals to help move our COSF system even further. Over the next two years, as part of the framework partnership, we will assist ECO to develop their COSF Framework and they will assist us to develop parent friendly information, develop strategies to make the COSF process included into the IFSP/IEP process, and assist us to develop training materials. The CDS State IEU will use the materials to provide training to all Early Care and Education personnel in Maine on the understanding and importance of Child and Family Outcomes. In June of 2009 the Part C/619 Policy Manager (formally the Birth to Five Intervention, Programming and Staff Development Consultant) attended the National Outcomes and Data Conferences. She presented with an ECO Representative and two other states at the Outcomes Conference on COSF Quality Assurance. The CDS State IEU will ensure this process continues on its path of growth.

The outcome measure system for Maine includes:

- A. Policies and procedures to guide outcome assessment and measurement practices,
- B. Provision of training and technical assistance supports to administrators and service providers in outcome data collection, reporting, and use,

- C. Quality assurance and monitoring procedures to ensure the accuracy and completeness of the outcome data,
- D. Data system elements for outcome data input and maintenance, and outcome data analysis functions,
- E. Measurement strategies used to collect data,
- F. The criteria used to determine whether a child's functioning was "comparable to same aged peers".

A. Policies and procedures to guide outcome assessment and measurement practices

The population of children for whom outcome data is collected includes all children aged 0-5 who are determined eligible for services and who have an IFSP or IEP. Entry, annual and exit information is gathered on all children who have been in services for more than six months.

A full and individualized evaluation of a child's present level of functioning must be conducted to determine eligibility prior to entry into the CDS system. In 2005, work was initiated to clarify the eligibility criteria for Part C. Through site, regional and state wide training the differences in eligibility for Part C and 619 are continuously discussed.

Multiple sources of data must be used to determine the eligibility of children. Evaluation and assessment of each child age birth to two referred must include a review of records related to the current health status and medical history of the child. As well as a multidisciplinary assessment of the child's strengths and needs and the appropriate services to meet their needs, a family directed assessment of the resources, priorities and concerns and the identification of the supports and services needed for the family to meet the developmental needs of their child. The evaluation and assessment must be either the Bailey or Battelle Developmental Inventory (BDI). These instruments are the two approved by the State for Part C. A team may use clinical opinion when discussing the eligibility of the child if the child does not meet eligibility through the required standard deviations in State regulations. For a team to use informed clinical opinion they must document why the evaluation produced invalid findings, what objective data was included in determining the child has a developmental delay and indicate an agreement of the team. It is highly suggested that children be observed in their natural environments to document their areas of strengths and concerns. This is the setting within the community where infants and toddlers without disabilities are usually found (e.g. home, child care, play groups). [Maine Unified Special Education Regulation, VII (2)(a)(b)(c)]

The Case Manager (service coordinator) is responsible for collecting and documenting enough information for the team to be able to determine the early childhood outcomes rating for the child (on a scale of 1-7 on the Child Outcomes Summary Form). This discussion is becoming a natural part of the IFSP/IEP meeting. The information gathered includes evaluations and assessments, information provided by the parents of the child, and observations by caregivers and other service providers. Initial levels of performance in the three outcome areas of this indicator will serve as the first data point. CDS sites will also assess all children annually, prior to the renewal of the IFSP, or to transition from Part C to Part B 619. Assessments will also be

administered to all children exiting the system who have received services for at least six months.

B. Provision of training and technical assistance supports to administrators and service providers in outcome data collection, reporting, and use

Technical assistance (TA) occurs frequently and is available at any time for all site personnel. An example of the continuous availability for TA is when the COSFs are submitted. At that time, they are reviewed for accuracy. If there is information that is omitted, misplaced, missing, incomplete, inaccurate or unclear the form is returned to the Site Director and/or Case Manager to be reviewed, completed and resubmitted. If the corrections needed are not clear then the Data Distinguished Educator provides TA to the personnel to ensure their competence in the area. The Part C/619 Policy Manager is also available to provide TA to all sites and site personnel. CDS has a training committee that meets monthly to discuss training needs for the system. The training committee recommended that Lunch and Learn sessions be conducted as a refresher to staff as follow up to the November 2008 training done by NECTAC/ECO.

Maine has been selected as one of the seven Framework Partner States with the Early Childhood Outcomes Center. This relationship has been a valuable resource in providing our sites with up to date information and assistance. A representative from ECO met with our Training Committee to discuss implementation processes, usage of, barriers and needs in relation to the COSF. The information gathered was used in developing the Lunch and Learn refresher and is being used to develop information to be shared with the personnel required to monitor and complete the COSF.

The CDS website (<http://www.maine.gov/education/speced/cds/cosf/index.html>) has been an area of value in providing information and resources in relation to outcomes. Policy statements (Administrative Letter #14 <http://www.maine.gov/education/speced/cds/adminltrs/adminlet14.pdf>), guidance documents, sample Developmental Milestones, Maine's Early Learning and Infant Toddler Guidelines, COSF, and useful resources are all available on the website. By the end of the year we expect to have completed Training Modules available for training and orientation purposes. The CDS State IEU is developing a COSF monitoring checklist to be used when monitoring files. The checklist will be used as part of an on site visit for a focused monitoring or for the regional site to review their COSF submissions.

In our work with the Framework we are discussing preparation of information to share with parents and staff to ensure understanding of the process used in Maine and how it is beneficial to their child. CDS State IEU staff will work with professionals throughout the Early Care and Education system to support understanding of the outcome data we are tracking and its use to foster growth and performance in programs.

C. Quality assurance and monitoring procedures to ensure the accuracy and completeness of the outcome data

As a part of the CDS monitoring process the file audit form and review ensure outcome information is included in the file. The information submitted is reviewed by the Data Distinguished Educator for completeness prior to entry into the central database. Error checks are built into the data system. Some regional sites have established internal monitoring and review processes prior to submission of the forms to the CDS State IEU.

Over the next year, one of the reports that the CDS State IEU will develop, to assist all of the Regional Site Directors, will include the children who have entered services and who do not have a COSF, if there has been more than a year since an updated COSF has been submitted, and if children have exited and a COSF has not been submitted. This report will provide follow up to sites to ensure they are submitting the information required.

The CDS State IEU is developing a COSF monitoring checklist to be used when monitoring files. The checklist will be utilized as part of an on site visit for a focused monitoring or for the regional site to review their COSF submissions.

D. Data system elements for outcome data input and maintenance, and outcome data analysis

Data continues to be collected, entered and analyzed by the CDS State IEU. The electronic COSFs are submitted to the central office via email. Currently, all sites are submitting forms via email. The COSFs are completed in a standardized MS Word form that is updated on an as needed basis. Streamlining the process from a written process to electronic process has increased the validity of the COSF data, since human interaction has decreased. The State IEU reviews each form submitted for complete information prior to being entered into a central database. The forms are then electronically imported into the central database which is linked to Case-e to verify the information against the child record, previous COSF records, etc. This is an interim process being used while a web based system continues to be developed. Reports based on the data can be produced for other purposes by site or by child and or site.

E. Measurement strategies used to collect data

- Who is included in the measurement, i.e. what population of children? If sampling, share information about your sampling plan.
- What assessment/measurement tool(s) and/or other data sources were used?
- Who conducted the assessments?
- When did measurement occur?
- If multiple data sources were used, what method was used to summarize the data for each child? (e.g., the ECO-developed Child Outcome Summary Form, another method, etc.)
- What data was reported to the state, and how was the data transmitted? (e.g., Programs submit data on paper quarterly to the state agency, data entered through online data system, etc.)
- What data analysis methods were used to determine the progress categories?

In Maine all children aged 0-5 who receive Early Intervention Services receive an entry COSF. If children are in services for more than six months they have a COSF done annually and at exit (from services or from Part C to Part B). For children in Part C they must receive either the Battelle Developmental Inventory (BDI) or the Bailey evaluation (Administrative Letter #1 <http://www.maine.gov/education/speced/cds/adminltrs/ltr1bayleybattelle.pdf>, March 16, 2007). In addition to the Bayley or the Battelle, teams use observation, other evaluation and assessment tools, screening information and other input from the team members. The assessments/evaluations are conducted by appropriately certified/trained individuals. Maine uses the COSF developed by ECO using the seven point rating scale. We have made state specific additions to the form which can be found at <http://www.maine.gov/education/speced/cds/forms/cosf.doc>. All data is reported to the CDS State IEU. For this reporting year the forms have been submitted both electronically and through paper copies mail to the central office. One person in the central office is responsible for entering all information into an internal database. The data is analyzed using the ECO calculator, the state database and by CDS State IEU individuals.

The outcome ratings from entry data are matched to exit outcome ratings for individual children. At the regional CDS sites and CDS central office levels, analysis of matched scores will yield for each of the three outcomes:

- a. Percent of children who did not improve functioning;
- b. Percent of children who improved functioning but not sufficiently to move nearer to functioning comparable to same age peers;
- c. Percent of children who improved functioning to a level nearer to same aged peers but did not reach it;
- d. Percent of children who improved functioning to reach a level comparable to same age peers; and
- e. Percent of children who maintained functioning at a level comparable to same aged peers.

CDS central analyzes the entry status of children, exit status, and the percentages of children who increased ratings from entry data to exit data (moved nearer to typical development) by site as well as by state.

F. The criteria used to determine whether a child's functioning was "comparable to same aged peers".

Maine utilizes ECO COSF form where the rating 6 and 7 have been defined as the area that meets the OSEP definition requirement for "comparable to same aged peers".

Discussion of Baseline Data:

Maine has chosen to use the ECO Summary Statements Calculator (<http://www.fpg.unc.edu/~eco/assets/xls/Summary%20Statement%20Calculator03242009.xls>) to generate the baseline data for the table below. Data from the progress charts above are entered into the calculator for each outcome, and the calculator yields the percentages for the Summary Statements table.

Progress Data for Infants and Toddlers Exiting 2008-2009

C. Positive social-emotional skills (including social relationships):	Number of children	% of children
a. Percent of infants and toddlers who did not improve functioning	19	15.7
b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	30	24.8
c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach	24	19.8
d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	28	23.1
e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers	20	16.5
Total	N=121	100%
D. Acquisition and use of knowledge and skills (including early language/communication):	Number of children	% of children
a. Percent of infants and toddlers who did not improve functioning	15	12.4
b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	32	26.4
c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach	43	35.5
d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	25	20.7
e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers	6	5.0
Total	N=121	100%

C. Use of appropriate behaviors to meet their needs:	Number of children	% of children
a. Percent of infants and toddlers who did not improve functioning	20	16.5
b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	29	24.0
c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach	27	22.3
d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	25	20.7
e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers	20	16.5
Total	N=121	100%

Baseline Data for Infants and Toddlers Exiting 2008-2009

Summary Statements	% of children
Outcome A: Positive social-emotional skills (including social relationships)	
1. Of those children who entered or exited the program below age expectations in Outcome A, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program	51.5
2. The percent of children who were functioning within age expectations in Outcome A by the time they turned 3 years of age or exited the program	39.7

Summary Statements	% of children
Outcome B: Acquisition and use of knowledge and skills (including early language/communication and early literacy)	
1. Of those children who entered or exited the program below age expectations in Outcome B, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program	59.1
2. The percent of children who were functioning within age expectations in Outcome B by the time they turned 3 years of age or exited the program	25.6
Outcome C: Use of appropriate behaviors to meet their needs	
1. Of those children who entered or exited the program below age expectations in Outcome C, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program	51.5
2. The percent of children who were functioning within age expectations in Outcome C by the time they turned 3 years of age or exited the program	37.2

Explanation of currently reported progress data

This year's baseline data is based on 121 children who have exited. The intent is for all children to receive an initial, annual and/or exit Child Outcomes Summary Form completed. Therefore, the data is a representation of the children in the CDS program from all 16 regional sites. Reports will be developed, to assist the regional sites in determining children who enter services and who do not have a COSF, if there has been over a year since an updated COSF has been submitted, and if children have exited and a COSF has not been submitted. The will enable the sites to collect data on all children for future analysis and increase data quality.

A comparison from FFY2007 progress data to FFY2008 baseline data, shows an increase in the number of children reported for outcomes. Correspondingly, the percentage of children who did not improve functioning in FFY2007 has decreased in FFY2008 in all three outcome areas. This trend should continue based on more accurate data as staff continues to improve the quality, accuracy, and timeliness of the forms completed.

Measurable and Rigorous Target:

Targets for Infants and Toddlers Exiting in FFY2009 (2009-10) and FFY2010 (2010-2011) and Reported in Feb 2011 and Feb 2012

Summary Statements	Targets for FFY2009 (% of children)	Targets for FFY2010 (% of children)
Outcome A: Positive social-emotional skills (including social relationships)		
1. Of those children who entered or exited the program below age expectations in Outcome A, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program	52	53
2. The percent of children who were functioning within age expectations in Outcome A by the time they turned 3 years of age or exited the program	40	41
Outcome B: Acquisition and use of knowledge and skills (including early language/communication and early literacy)		
1. Of those children who entered or exited the program below age expectations in Outcome B, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program	59	60
2. The percent of children who were functioning within age expectations in Outcome B by the time they turned 3 years of age or exited the program	26	27
Outcome C: Use of appropriate behaviors to meet their needs		
1. Of those children who entered or exited the program below age expectations in Outcome C, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program	52	53
2. The percent of children who were functioning within age expectations in Outcome C by the time they turned 3 years of age or exited the program	37	38

Targets for FFY2009 and FFY2010 have been set based on our evaluation of our baseline data.

Improvement Activities/Timelines/Resources:

Improvement Activities	Timelines						Resources
	FFY Year when activities will occur						
	05	06	07	08	09	10	
The Battelle II was piloted at three sites (Waterville, Bangor, and Androscoggin)	X						
ECT procedures and policies will be reviewed across CDS sites for consistency		X					
January 2007 on Child Outcomes Summary Form							
All sites will use the COSF		X	X	X	X	X	
Current data systems will be modified to capture, aggregate, and report the data by site		X					
A training and professional development system related to the child outcome assessment system will be developed and implemented.		X	X				
Continuing assessment of the data collection system			X	X	X	X	
Continuing training and professional development			X	X	X	X	

Part C State Annual Performance Report (APR) for FFY 2008

Overview of the Annual Performance Report Development:

Monitoring Priority: Early Intervention Services In Natural Environments

Indicator 4: Percent of families participating in Part C who report that early intervention services have helped the family:

- A. Know their rights;**
- B. Effectively communicate their children's needs; and**
- C. Help their children develop and learn.**

Measurement:	
A. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family know their rights) divided by the (# of respondent families participating in Part C)] times 100.	<i>A. 130 know rights divided by 147 families responded times 100 = 88%</i>
B. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family effectively communicate their children's needs) divided by the (# of respondent families participating in Part C)] times 100.	<i>B. 131 communicate needs divided by 142 families responded times 100 = 92%</i>
C. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family help their children develop and learn) divided by the (# of respondent families participating in Part C)] times 100.	<i>C. 131 services helped divided by 142 families responded times 100 = 92%</i>

FFY	Measurable and Rigorous Target for FFY2008		
2008	<i>4A Know their rights</i>	<i>4B Effectively communicate their children's needs</i>	<i>4C Help their children develop and learn</i>
	<i>89%</i>	<i>89%</i>	<i>89%</i>
FFY	Actual Target Data for FFY2008		
2008	<i>4A Know their rights</i>	<i>4B Effectively communicate their children's needs</i>	<i>4C Help their children develop and learn</i>
	<i>88%</i>	<i>92%</i>	<i>92%</i>

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2008:

All parents of children receiving services through CDS (Part C and 619) received a parent survey. 940 Part C surveys were sent throughout the State and 151 were returned, yielding a return rate of 16%. This is a consistent return rate with FFY2007. In review of the data, the CDS State IEU has determined the response data is representative of the CDS system.

Surveys		
Sent	Received	%
940	151	16

FFY2008 data shows an increase in actual target data from FFY2007. Over FFY2008 site staff and parents became more familiar, aware and comfortable with the Maine Unified Special Education Regulation (MUSER) changes that occurred for Part C during the FFY2007.

Over the next year the MDOE (inclusive of CDS) has contracted with Maine Parent Federation (MPF) to administer and report the results of the Parent Surveys for both Part C and Part B. Maine Parent Federation has a vast network that reaches families throughout the state. Using their resources and skills will foster communication with families who are completing the survey to insure greater understanding of the content and process; and with the intention it will yield a higher percentage rate of return. Additionally, MPF is under contract to review the current survey, provide recommendations for change and update the administrative protocols. Their suggestions will be reviewed for implementation by the Birth to 20 GSST Team at the MDOE.

CDS personnel continue to have training opportunities provided by the CDS State IEU on MUSER and IDEA. The Assistant Attorney General provides monthly "Lunch and Learn" training conference calls around the regulations and law. The CDS State IEU has contracted with three consultants to provide training to the regional sites on areas determined by the site or articulated by the CDS State IEU. CDS State IEU provides immediate responses to families who contact the MDOE/CDS State IEU with concerns and communicates the information to each regional site director and board to ensure follow through and follow up with the families/situations.

Representatives of the MPF participated in numerous committees with CDS and regional personnel; this assures networking to and from the parties around parent matters and training needs. MPF representatives also attend various CDS training opportunities.

Details of Actual Target Data for FFY2008

Race/Ethnicity								
Total Surveys			White	African American	Hispanic	Asian or Pacific Islander	American Indian/Alaskan Native	Other/ No Answer
Sent	Rec'd	%						
940	151	16	144	1	1	2	0	3

Gender				
	Male	Female	No Answer	Total
State	82	65	4	151
State %	54%	43%	3%	100%

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2008:

Improvement Activities	Timelines						Resources
	<i>FFY Year when activities will occur</i>						
	05	06	07	08	09	10	
Modify the NCSEAM Early Intervention Part C survey by using the last 22 questions (Impact of Early Intervention Services on Your Family), and a 4 point scale rather than a six point scale with the options of never; rarely; often; always; and selected demographic questions. (See appendix.)	X				X		
Pilot the survey instrument: CDS Cumberland; CDS Hancock and CDS Androscoggin	X						
In coordination with the pilot sites, MDOE will obtain contact information of all parents, foster parents, surrogate parents or guardians who comprise the current caseload of the site. The parents and guardians will be sent the survey with a return postage paid envelope to the Department of Education.	X					X	

Improvement Activities	Timelines						Resources
	FFY Year when activities will occur						
	05	06	07	08	09	10	
Data entry will be done by a contracted agency.	X						
Data analysis will be done by MDOE OSS data analysts.	X						
Provide the survey in accessible modes including Braille, audio, and language translations.	X						
Revise the distribution and collection plan as necessary.	X						
Set baseline and in January 2007 project annual measurable and rigorous targets based on pilot survey results in January 2007.	X						
Develop statewide distribution and collection system based on information from the pilot.		X					
MDOE will analyze and interpret the data.		X	X				
Review the projected annual measurable and rigorous targets.		X	X				
Publish State and local results disaggregated by CDS site.		X	X	X	X	X	
Provide technical assistance and professional development workshops using Maine’s parent network system: Maine Parent Federation, Southern Maine Parent Awareness, Autism Society and Learning Disabilities Association in partnership with Maine Association of Directors of Children with Special Needs.			X	X	X	X	
Continue statewide distribution and collection system.			X	X	X	X	
Review the annual data reaching for the measurable and rigorous targets with the stakeholders group: Maine Advisory Council on the Education of Children with Disabilities.			X	X	X	X	

Improvement Activities	Timelines						Resources
	<i>FFY Year when activities will occur</i>						
	05	06	07	08	09	10	
Distribute State and local results disaggregated by CDS site on the website, through media and to public agencies			X	X	X	X	

Part C State Annual Performance Report (APR) for FFY 2008

Overview of the Annual Performance Report Development:

Monitoring Priority: Effective General Supervision Part C / Child Find

Indicator 5: Percent of infants and toddlers birth to 1 with IFSPs compared to national data.

Measurement:

Percent=[(# of infants and toddler birth to 1 with IFSPs) divided by the (population of infants and toddlers birth to 1)] times 100 compared to national data.

$$\text{Percent} = [(75 < 1\text{yr}) \div (14,310 < 1\text{ pop})] \text{ times } 100 = .52\%$$

FFY	Measurable and Rigorous Target
FFY2008	0.75%
FFY	Actual Target Data for FFY2008
FFY2008	.52%

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2008:

The data reported for FFY2008 indicates .52% of infants and toddlers ages birth to one with IFSPs. The data from FFY2008 shows slippage from the reported .71% for FFY2007. The actual target data does not meet the target set of FFY2008.

To better understand each sites birth to one Child Find practices the CDS State IEU surveyed each Site Director. The survey questions ranged from what strategies were in place at their site to indicating what agencies had been the most and least receptive to providing referrals. Each site will be provided with the results of the surveys and a summary of the strategies identified in the survey that are used throughout the state.

Over the last year the CDS State IEU has worked diligently to update the Interagency Agreement/Memorandum of Understanding with the Department of Health and Human Services (DHHS). The two departments have recognized there are a wide variety of primary referral sources within the birth to five Child Find system and have developed, within the agreement, a referral process that maximizes the use of those sources. The agencies will coordinate their efforts to develop a referral network within the state that extends to other health and social service agencies. Areas specifically agreed upon in the revised Interagency Agreement between CDS and DHHS are the Newborn Hearing Screening Programs, Genetics Counseling, Metabolic Clinics, Birth Defects Registry, CAPTA, and Premature births. CDS will

provide a central referral contact

(<http://www.maine.gov/education/speced/cds/supervision/documents/CDSSystemProposedRestructure.pdf>) for these programs to make their referrals. By providing a central referral number it is expected that the number of referrals from these groups will increase. There will be a strict timeline and tracking system developed within the CDS State IEU that the Referral Coordinator will monitor to ensure referrals are honored and timelines are met.

Preliminary work on this issue resulted in Administrative Letter #18

(<http://www.maine.gov/education/speced/cds/adminltrs/adminlet18.pdf>) that requires all Maine Audiologist to make their referrals to the CDS State IEU. It is common that children from all over the state see the same audiologists. In meetings with the Maine Newborn Hearing Program and with the President of the Audiological Association the audiologists expressed the frustration with the referral process. It is very common that children from all over the state see similar audiologists. Their input highlighted inefficiencies in trying to figure out which of the CDS sites to contact for any given child. The group determined it is easier and more efficient to send their referrals to the CDS State IEU. Processes have been put into place to ensure timelines are being honored in the new referral process. The CDS State IEU Office Assistant is responsible for accepting these referrals has 24 hours (not including holidays and weekends) to provide the local site with the referral information. Notification was provided in Administrative Letter #18 stating CDS State IEU has provided a central referral process.

In addition to the work done with DHHS on the interagency agreement the CDS State IEU Director and/or the Part C/619 Policy Manager have participated in many groups/meetings that focus on a variety of Infant and Toddler matters. Some of these groups have consisted of the Infant and Toddler Initiative, a legislative work group with the Maine Division of the Blind and Visually Impaired, the Caring Community Collaboration Advisory Group, Expanding Inclusive Opportunities Stakeholder group, The CELL initiative group, Maine Head Start Directors, the Maine Children's Growth Council, and Autism workgroups. Additionally, The Maine Newborn Hearing Program, CDS and the Baxter program for children with hearing impairments have created a group of early intervention professionals who meet quarterly to discuss the processes for children with hearing loss.

Over the next year the CDS Training Committee has tasked itself with utilizing ARRA funds to support the development of a Public Relations Campaign to provide information on what CDS is and does for children ages 0-5. The CDS website has grown as a result of efforts to provide information to families, staff and providers. CDS continues to participate in the Infant and Toddler Awareness day that occurs at the State House in the Hall of Flags.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2008:

Improvement Activities	Timelines						Resources
	FFY Year when activities will occur						
	05	06	07	08	09	10	
Review the results of our consultants’ findings and begin to implement recommended changes, most of which are mentioned above.	X						
Continue to add to our Web presence and other broad media campaigns.	X				X	X	
Determine if the low rate of children with IFSPs is due to low identification rates or criteria for eligibility after they have entered the system in ChildFind.	X						
Develop and maintain communication with a selected group of states to compare methods and results.	X						
Continue to solicit input and assistance from stakeholders in the process, the Maine Advisory Council on the Education of Children with Disabilities (MACECD), provider groups, and health care agencies.	X						
Review and enhance the ChildLink data system codes to enable more detailed analysis of referral sources. Create periodic reports to provide summaries for analysis.	X					X	
Review the first year’s data to compare referral sources and target low response agencies to determine the reasons for low response.		X					
Incorporate any changes to eligibility criteria into the analysis of the rate of children with IFSPs.		X					
Ongoing data collection, evaluation including the evaluation of low response referral sources.			X	X	X	X	
Review targets and compare them to peer groups and the US.			X	X	X	X	

Part C State Annual Performance Report (APR) for FFY 2008

Overview of the Annual Performance Report Development:

Monitoring Priority: Effective General Supervision Part C / Child Find

Indicator 6: Percent of infants and toddlers birth to 3 with IFSPs compared to national data.

Measurement:

Percent=[(# of infants and toddler birth to 3 with IFSPs) divided by the (population of infants and toddlers birth to 3)] times 100 compared to national data.

Percent = [(982) ÷ (42,919 pop)] times 100 = 2.29%

FFY	Measurable and Rigorous Target
FFY2008	2.55%
FFY	Actual Target Data for FFY2008
FFY2008	2.29%

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2008:

The data reported for FFY2008 indicates 2.29% of infants and toddlers ages birth to 3 with IFSPs. The data from FFY2008 shows slippage from the reported 2.38% for FFY2007. The actual target data does not meet the target set of FFY2008.

Over the last year, the CDS State IEU has worked diligently to update the Interagency Agreement/Memorandum of Understanding with the Department of Health and Human Services (DHHS). The two departments have recognized there are a wide variety of primary referral sources within the birth to five Child Find system and have developed, within the agreement, a referral process that maximizes the use of those sources. The agencies will coordinate their efforts to develop a referral network within the state that extends to other health and social service agencies. Areas specifically agreed upon in the revised Interagency Agreement between CDS and DHHS are the Newborn Hearing Screening Programs, Genetics Counseling, Metabolic Clinics, Birth Defects Registry, CAPTA, and Premature births. CDS will provide a central referral contact (<http://www.maine.gov/education/speced/cds/supervision/documents/CDSSystemProposedRestructure.pdf>) for these programs to make their referrals. By providing a central referral number it is expected that the number of referrals from these groups will increase. There

will be a strict timeline and tracking system developed within the CDS State IEU that the Referral Coordinator will monitor to ensure referrals are honored and timelines are met.

Preliminary work on this issue resulted in Administrative Letter #18

(<http://www.maine.gov/education/speced/cds/adminltrs/adminlet18.pdf>) that requires all Maine Audiologists to make their referrals to the CDS State IEU. It is common that children from all over the state see the same audiologists. In meetings with the Maine Newborn Hearing Program and with the President of the Audiological Association the audiologists expressed their frustration with the referral process. Their input highlighted inefficiencies in trying to figure out which of the CDS sites to contact for any given child. The group determined it is easier and more efficient to send their referrals to the CDS State IEU. Processes have been put into place to ensure that timelines are being honored in the new referral process. The CDS State IEU Office Assistant is responsible for accepting these referrals has 24 hours (not including holidays and weekends) to provide the local site with the referral information. Notification was provided in Administrative Letter #18 stating that CDS State IEU has provided a central referral process.

In addition to the work done with DHHS on the interagency agreement the CDS State IEU Director and/or the Part C/619 Policy Manager have participated in many groups/meetings that focus on a variety of Infant and Toddler matters. Some of these groups have consisted of the Infant and Toddler Initiative, a legislative work group with the Maine Division of the Blind and Visually Impaired, the Caring Community Collaboration Advisory Group, Expanding Inclusive Opportunities Stakeholder group, The CELL initiative group, Maine Head Start Directors, the Maine Children's Growth Council, and Autism workgroups. Additionally, The Maine Newborn Hearing Program, CDS and the Baxter program for children with hearing impairments have created a group of early intervention professionals who meet quarterly to discuss the processes for children with hearing loss.

Over the next year the CDS Training Committee has tasked itself with utilizing ARRA funds to support the development of a Public Relations Campaign to provide information on what CDS is and does for children ages 0-5. The CDS website has grown as a result of efforts to provide information to families, staff and providers. CDS continues to participate in the Infant and Toddler Awareness day that occurs at the State House in the Hall of Flags.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2008:

Improvement Activities	Timelines						Resources
	FFY Year when activities will occur						
	05	06	07	08	09	10	
Review the results of our consultants’ findings and begin to implement recommended changes, most of which are mentioned above.	X						
Continue to add to our Web presence and other broad media campaigns.	X				X	X	
Determine if the low rate of children with IFSPs is due to low identification rates or criteria for eligibility after they have entered the system in ChildFind.	X						
Develop and maintain communication with a selected group of states to compare methods and results.	X						
Continue to solicit input and assistance from stakeholders in the process, the Maine Advisory Council on the Education of Children with Disabilities (MACECD), provider groups, and health care agencies.	X						
Review and enhance the ChildLink data system codes to enable more detailed analysis of referral sources. Create periodic reports to provide summaries for analysis.	X					X	
Review the first year’s data to compare referral sources and target low response agencies to determine the reasons for low response.		X					
Incorporate any changes to eligibility criteria into the analysis of the rate of children with IFSPs.		X					
Ongoing data collection, evaluation including the evaluation of low response referral sources.			X	X	X	X	
Review targets and compare them to peer groups and the US.			X	X	X	X	

Part C State Annual Performance Report (APR) for FFY 2008

Overview of the Annual Performance Report Development:

Monitoring Priority: Effective General Supervision Part C / Child Find

Indicator 7: Percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline.

Measurement:

Percent = [(# of infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting was conducted within Part C's 45-day timeline) divided by the (# of infants and toddlers with IFSPs evaluated and assessed for whom an initial IFSP meeting was required to be conducted)] times 100.

Account for untimely evaluations, assessments, and initial IFSP meetings, including the reasons for delays.

Percent = [(611 with IFSP within timeline) ÷ (868 with IFSP meetings required to be conducted)] times 100 = 70%

FFY	Measurable and Rigorous Target
FFY2008	100%
FFY	Actual Target Data for FFY2008
FFY2008	70%

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2008:

The data for FFY2008 APR shows a decrease in compliance relative to FFY2007. The significant decrease is due to the adjustment of the denominator based on instructions from OSEP. Despite continued efforts by the CDS State IEU there continue to be difficulties for the regional sites to meet the timeline to complete initial evaluations for children referred. Regional sites use a mix of employed staff and contracted providers to provide evaluations for children. A limited study was completed to address the effectiveness of employed staff vs. contracted staff. This study showed sites that employed evaluators tended to have better timelines.

Interviews during monitoring of the sites highlighted an issue that affects timelines. Many case managers were waiting to receive evaluations from employed and contracted providers prior to setting up meetings. There was a lack of an established procedure to provide timelines for evaluators and it became clear this has been effecting our timeline compliance. The CDS State IEU provided documents, available at <http://www.maine.gov/education/speced/cds/adminltrs/adminlet20.pdf> (Administrative

Letter #20) and <http://www.maine.gov/education/speced/cds/adminltrs/adminlet21.pdf> (Administrative Letter #21) for sites to utilize to meet state established timelines. The site directors were trained regarding this requirement in June 2009 at the B-20 Maine Special Education Leadership Conference

The letters indicate clear expectations for CDS employees and contracted providers. Each regional site must track a referral for evaluation from beginning to end within the timelines. For employees who do not meet the timelines their deficiency becomes part of their personnel file. Contracted providers who do not provide the evaluation 15 days prior to the scheduled meeting (extraordinary circumstances honored) will not be paid for the evaluation. Adherence to these letters will be monitored in the early spring of 2010.

Due to the Emergency Regulations that went into effect on January 19, 2010 requiring the timeline for evaluations in Part B from 60 calendar days to 45 school days the letters referenced above are in the process of being updated. The CDS State IEU will distribute new guidance on tracking timelines early in February 2010.

In addition to the Administrative Letters #20 and 21 the CDS State Director gave all providers the opportunity to participate in a Lunch and Learn session on the documented requirements on the part of regional personnel and on contracted professionals. The Lunch and Learn session provided clarification on the change in evaluation requirements and reiterated the seriousness of meeting evaluation timelines.

The CDS State IEU will address the areas of noncompliance for indicator C7 in indicator C9.

In addition to the activities documented for FFY2009, the following activities continue:

- Weekly webinars with individuals who routinely enter and use the Case-e data system. These webinars are interactive and provide an opportunity for clarifying conversations between regional site personnel and the CDS State IEU Data Manager.
- Compliance timelines are discussed and stressed to all CDS personnel and contract providers by all CDS State IEU personnel, CDS State IEU contracted individuals who provide regional site training, and by the Regional Site Directors.
- The CDS State IEU contract with two individuals to provide training to regional sites in the areas determined by the CDS State IEU Director as a result of Letters of Findings, data system reviews, as well as queries and requests from the field.
- CDS State IEU continuing use of, and reference to, Part C Process Chart for employee use available at <http://www.maine.gov/education/speced/cds/documents/PartCProcessChart.doc>
- The CDS State IEU provides Lunch and Learn sessions to CDS personnel. These remain a proven method of outreach and training to staff throughout the state based on feedback from personnel. The Lunch and Learn sessions are used to provide clarifying information on a variety of issues that have been discovered through monitoring, through requests from the field and/or consultants and based

on information provided to the CDS State IEU. A focus of the Lunch and Learn sessions are on the clarification, practice and understand of the Part C Federal and State Regulations. As we move into the next fiscal year the Lunch and Learn sessions will expand to discuss best practices and strategies to meet OSEP indicator and MUSER requirements. The success of the Lunch and Learn sessions was shared by the Director at the 2009 Leadership conference attended by the regional site directors.

Correction of FFY 2007 Findings of Noncompliance (if State reported less than 100% compliance):

Level of compliance (actual target data) State reported for FFY 2007 for this indicator: 91.1%

1. Number of findings of noncompliance the State made during FFY 2007 (the period from July 1, 2007, through June 30, 2008)	13
2. Number of FFY 2007 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	1
3. Number of FFY 2007 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	12

Correction of FFY 2007 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance):

4. Number of FFY 2007 findings not timely corrected (same as the number from (3) above)	12
5. Number of FFY 2007 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction")	6
6. Number of FFY 2007 findings <u>not</u> verified as corrected [(4) minus (5)]	6

Actions Taken for Noncompliance Not Corrected:

For FFY 2007 findings remaining open, the following activities were taken:

- Reporting requirements were increased.
- Data was reviewed in the Case-e data system several times.
- Corrective Action Plans were required.
- Sites were required to include goals in ARRA applications to address areas with outstanding noncompliance.
- Sites were provided training on Transition by a CDS State IEU consultant.
- Weekly webinars were conducted with individuals who routinely enter and use the Case-e data system. These webinars were interactive and provided an opportunity for clarifying conversations between regional site personnel and the CDS State IEU Data Manager.
- Lunch and Learn sessions were held to address timeline requirements.

- Sites were provided training on the requirements of Administrative Letter Number 20 to track timelines from referral to time of meeting.
- Compliance timelines and required correction of remaining noncompliance were reinforced to all CDS personnel and contract providers by all CDS State IEU personnel, CDS State IEU contracted individuals who provide regional site training, and by the Regional Site Directors.
- The CDS State IEU contracted with two individuals to provide training to regional sites in the areas of outstanding noncompliance.

Verification of Correction (either timely or subsequent):

As required by OSEP Memorandum 09-02, prior to issuing notification that a finding of noncompliance was corrected, Maine verified that each CDS site, with noncompliance identified in FFY 2007:

1. Was correctly implementing the specific regulatory requirements. Maine verified this by collecting subsequent data related to any regulatory requirement where noncompliance was identified. The amount of subsequent data collected was dependent on many factors including the level of noncompliance, historical data from the CDS site on compliance with the specific requirement and the number of children served in the CDS site. Maine required that subsequent data show compliance (100%); and
2. Had corrected each individual case of noncompliance, unless the child was no longer within the jurisdiction of the CDS site. Maine reviewed child records, identified as having noncompliance, to ensure correction of each individual case of noncompliance. Through the on-site monitoring process and desk audits, the CDS State IEU has verified that the each of the sites providing Early Intervention Services found to be non-compliant in FFY2007 is correctly implementing the specific regulatory requirements and has conducted the initial evaluation, assessment and IFSP meeting, although late, unless the child is no longer within the jurisdiction of the CDS sites.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2008:

Improvement Activities	Timelines						Resources
	FFY Year when activities will occur						
	05	06	07	08	09	10	
			X	X			

<p>The Professional Development Committee for CDS will develop and implement training in general assessment principles, the use of the Battelle II in determining eligibility, and transdisciplinary teaming will be provided to CDS employees and providers.</p>	X						
<p>Continuing professional development is occurring in 2007-08 for providers, parents, and CDS employees.</p>			X	X			
<p>Since redefining the data codes, implementing system wide training on the new codes, and beginning to pilot some of the recommendations of the Assessment Committee, sites have already seen reductions in children birth through two whose initial IFSP is not written within the 45 day timeline.</p>	X						
<p>It is anticipated that by continuing with the implementation of the Assessment Committee's recommendations, Maine will satisfy the required targets for this indicator.</p>			X	X			
<p>Gather Data for lunch and learn to assess response to personal needs and effectiveness of sessions</p>						X	

<p>Ongoing monitoring of the rates of compliance will inform the necessary training and technical assistance or data management adjustments that are required at the site level to maintain acceptable.</p> <ul style="list-style-type: none"> • The CDS State IEU reviews the compliance reports site by site on a monthly basis. • The Monitoring consultant reviews the compliance reports before going to do both the on-site training before the monitoring visit and the on site file review. • During 2006-2007 and ongoing, the State IEU reviews the monthly monitoring reports to determine the impact of the implementation of the department approved Bayley and Battelle II assessments universally. On site monitoring checks for this as well. 							
		X	X	X	X	X	
					X	X	

Part C State Annual Performance Report (APR) for FFY 2008

Overview of the Annual Performance Report Development:

Monitoring Priority: Effective General Supervision Part C / Effective Transition

Indicator 8: Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including:

- A. IFSPs with transition steps and services;**
- B. Notification to LEA, if child potentially eligible for Part B; and**
- C. Transition conference, if child potentially eligible for Part B.**

<p>Measurement:</p> <p>A. Percent = $[(\# \text{ of children exiting Part C who have an IFSP with transition steps and services}) \div (\# \text{ of children exiting Part C})] \times 100$.</p> <p>B. Percent = $[(\# \text{ of children exiting Part C and potentially eligible for Part B where notification to the LEA occurred}) \div (\# \text{ of children exiting Part C who were potentially eligible for Part B})] \times 100$.</p> <p>C. Percent = $[(\# \text{ of children exiting Part C and potentially eligible for Part B where the transition conference occurred}) \div (\# \text{ of children exiting Part C who were potentially eligible for Part B})] \times 100$.</p> <p>Account for untimely transition conferences, including reasons for delays.</p>	<p>** see further explanation of all measurements below.</p> <p>A. 79% = $[(206 \text{ of children exiting Part C who have an IFSP with transition steps and services}) \div (262 \text{ of children exiting Part C})] \times 100$</p> <p>B. 100% = $[(252 \text{ of children exiting Part C and potentially eligible for Part B where notification to the LEA occurred}) \div (252 \text{ of children exiting Part C who were potentially eligible for Part B})] \times 100$.</p> <p>C. 56% = $[(142 \text{ of children exiting Part C and potentially eligible for Part B where the transition conference occurred}) \div (252 \text{ of children exiting Part C who were potentially eligible for Part B})] \times 100$.</p>
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**** As a part of the sites required focused monitoring it was verified that Site 12 showed an isolated deficiency in this indicator. Site 12 has been issued a Letter of Findings based on the verification of this data and has also been issued a letter stating the required follow up needed.**

By removing the data from the above numbers you will note in the table below the actual target data is represented in two numbers. The top number indicated the actual data with Site 12's files and the bottom number reflects the actual target data with Site 12's files removed. The actual target data without Site 12 represents a more concrete picture of the regional CDS site's progress in meeting compliance in this indicator.

FFY	Measurable and Rigorous Target for FFY2008		
2008	8A IFSPs with transition steps in services	8B Notification to LEA, if child potentially eligible for Part B	8C Transition conference, if child potentially eligible for Part B
	100%	100%	100%
FFY	Actual Target Data for FFY2008		
2008	8A IFSPs with transition steps in services	8B Notification to LEA, if child potentially eligible for Part B	8C Transition conference, if child potentially eligible for Part B
	79% 83%	100%	56% 61%

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2008:

The monitoring that occurred for FFY2008 occurred on 20% of each regional CDS sites files. This was an increase in data reviewed from FFY2007, where 10% of the files were reviewed.

A. IFSPs with transition steps and services;

In FFY2007, the state reported compliance with indicator 8A at 83.5%. The current rate of compliance for FFY2008 indicator 8A is 79%, showing slippage in this area. The data reported for FFY2008 is based upon focused monitoring of all 16 of the regional CDS sites. 11 of the 16 sites are at 100% compliance in this area. Two sites have shown improvement in their compliance although not meeting 100% compliance. Three sites have shown slippage in this area.

By removing Site 12 the remaining 15 regional CDS sites show an 83% rate of compliance. This shows a similar rate as FFY2007.

Correction of FFY 2007 Findings of Noncompliance (if State reported less than 100% compliance):

Level of compliance (actual target data) State reported for FFY 2007 for this indicator: 83.5%

1. Number of findings of noncompliance the State made during FFY 2007 (the period from July 1, 2007, through June 30, 2008)	10
2. Number of FFY 2007 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	10
3. Number of FFY 2007 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

Correction of FFY 2007 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance):

4. Number of FFY 2007 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2007 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction")	0
6. Number of FFY 2007 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Verification of Correction (either timely or subsequent):

As required by OSEP Memorandum 09-02, prior to issuing notification that a finding of noncompliance was corrected, Maine verified that each CDS sites, with noncompliance identified in FFY 2007:

1. Was correctly implementing the specific regulatory requirements. Maine verified this by collecting subsequent data related to any regulatory requirement where noncompliance was identified. The amount of subsequent data collected was dependent on many factors including the level of noncompliance, historical data from each CDS site on compliance with the specific requirement and the number of children served in the CDS site. Maine required that subsequent data show compliance (100%); and
2. Had corrected each individual case of noncompliance, unless the child was no longer within the jurisdiction of the CDS site. Maine reviewed child records, identified as having noncompliance, to ensure correction of each individual case of noncompliance. Through the on-site monitoring process and desk audits, the CDS State IEU has verified that the each of the sites providing Early Intervention Services with remaining noncompliance is correctly implementing the specific regulatory requirements and has developed an IFSP with transition steps and services, unless the child is no longer within the jurisdiction of the CDs sites.

In April 2007, the IFSP was included in Informational Letter #92 (<http://www.maine.gov/education/edlets/2007/ilet/07ilet092.htm>) along with all State Required Special Education forms which mandated implementation on September 1, 2007. The required IFSP includes two pages of Transition Planning and Transition Conference requirements. All sites were required to utilize the form for children receiving early intervention services under Part C of IDEA. The implementation of this form varied throughout the 15 regional sites. Not completing the required transition steps and services portion of the IFSP impacted the overall compliance.

In the spring of 2009, a state wide group of CDS appointed case-managers and three CDS state employees convened an IFSP review team to make revisions to the state IFSP. The

team convened in person and via teleconference to streamline the document and closely align the document with regulatory requirements. The transition section of the IFSP was revamped significantly to include specific areas of data needed to monitor C8A and C8C within the CDS state data system. The new form is located at <http://www.maine.gov/education/forms/specialservices/progreview/ifsp.doc>

B. Notification to LEA, if child potentially eligible for Part B

CDS provides Part C and Part B services birth to five in Maine and continues to meet compliance for this indicator at 100% compliance as the children are served by one agency as they transition from early intervention services to special education services.

Indicator/ Indicator Clusters	General Supervision System Components	(a) # of Findings of noncompliance identified in FFY2007 (7/1/07 to 6/30/08)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification	# of Findings of Noncompliance for which correction was subsequently verified	# of Findings of Noncompliance for which correction has not yet been verified
8. Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including: B. Notification to LEA, if child potentially eligible for Part B	Monitoring Activities: Self- Assessment/Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0			

C. Transition conference, if child potentially eligible for Part B

In FFY2007 the state reported compliance with indicator 8C at 60%. The current rate of compliance for FFY2008 indicator 8C is 56%, showing slippage in this area. Six of the 16 sites are at 100% compliance.

By removing Site 12 the remaining 15 regional CDS sites shows a 61% rate of compliance. This shows an increase from FFY2007.

Correction of FFY 2007 Findings of Noncompliance (if State reported less than 100% compliance):

Level of compliance (actual target data) State reported for FFY 2007 for this indicator: 85%

1. Number of findings of noncompliance the State made during FFY 2007 (the period from July 1, 2007, through June 30, 2008)	14
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2. Number of FFY 2007 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	1
3. Number of FFY 2007 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	13

Correction of FFY 2007 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance):

4. Number of FFY 2007 findings not timely corrected (same as the number from (3) above)	13
5. Number of FFY 2007 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction")	4
6. Number of FFY 2007 findings <u>not</u> verified as corrected [(4) minus (5)]	9

Actions Taken if Noncompliance Not Corrected:

For FFY 2007 findings remaining open, the following activities were taken:

- Reporting requirements were increased.
- Data was reviewed in the Case-e data system several times.
- Sites were required to submit Corrective Action plans indicating how they intended to track and supervise the requirements of transition.
- Sites with outstanding areas of noncompliance were required to include goals in ARRA applications to address these areas.
- Sites were provided training on Transition by a CDS State IEU consultant.
- Lunch and Learn sessions were held to address transition requirements.
- Administrative Letter Number 16 written to provide education, training and understanding of the required actions needed to take place in the transition process.
- The CDS State IEU contracted with two individuals to provide training to regional sites in the areas of uncorrected noncompliance.

Verification of Correction (either timely or subsequent):

As required by OSEP Memorandum 09-02, prior to issuing notification that a finding of noncompliance was corrected, Maine verified that each CDS sites, with noncompliance identified in FFY 2007:

1. Was correctly implementing the specific regulatory requirements. Maine verified this by collecting subsequent data related to any regulatory requirement where noncompliance was identified. The amount of subsequent data collected was dependent on many factors including the level of noncompliance, historical data from each CDS site on compliance with the specific requirement and the number of children

served in the CDS site. Maine required that subsequent data show compliance (100%); and

2. Had corrected each individual case of noncompliance, unless the child was no longer within the jurisdiction of the CDS site. Maine reviewed child records, identified as having noncompliance, to ensure correction of each individual case of noncompliance. Through the on-site monitoring process and desk audits, the CDS State IEU has verified that each of the sites providing Early Intervention Services with reported noncompliance in FFY2007 is correctly implementing the specific regulatory requirements and has conducted a transition conference for each child potentially eligible for part B, although late, unless the child is no longer within the jurisdiction of the CDS sites.

In further analysis of the data collected during the focused monitoring, the state reported in FFY2007, 85% compliance in holding a transition meeting (not within the required 90 day timeline). In FFY2008 the state is now at 92.25% compliance in this area. The sites have greatly improved in ensuring a transition meeting is held to determine eligibility for Part B services. Sites will need to continue improvements to ensure the meeting is held within the required timeline.

The percentage of compliance has improved. The State CDS IEU recognizes that Maine's CDS system is a birth to five system with the responsibility to make sure children who are transitioning from Part C to Part B 619 within the same regional sites have a plan in place upon their third birthday. The CDS State IEU consistently stresses the importance of the timeline requirement and has been working with the sites to clarify their need to adhere to the timeline and to make sure indicator 8C is met regionally with 100% compliance. The CDS State IEU has provided trainings on the transition from Part C to Part B. A training presentation and timeline has been provided to all sites and it available on the CDS State IEU website http://www.maine.gov/education/speced/cds/supervision/c_b_transition.ppt. This will be a continuing focus in presentations to the State Level Advisory Board and the Site Directors Council.

Since July 2007, all regional sites have undergone two years of monitoring and have received a Year One and a Year Two Letter of Findings indicating areas of noncompliance and their correction of the noncompliance. Letters of Findings were issued in June of 2009 to each of the sites based upon a focused monitoring for C8 compliance requirements and corrective action was outlined for areas of noncompliance identified in 2007 and not corrected within one year of identification. A sample letter sent to the sites can be found at <http://www.maine.gov/education/speced/cds/monitoring/documents/sampleletterfindings.doc>.

State wide training and technical assistance was provided over the last two years to all of the sixteen sites. Additionally, the CDS State IEU addressed the C to B transition in Administrative Letter #16

(<http://www.maine.gov/education/speced/cds/adminltrs/adminlet16.pdf>) on April 3, 2009.

This was further supported and articulated by Administrative Letters #20 (<http://www.maine.gov/education/speced/cds/adminltrs/adminlet20.pdf>) and Administrative Letter #21 (<http://www.maine.gov/education/speced/cds/adminltrs/adminlet21.pdf>).

For FFY2009, the CDS State IEU is utilizing ARRA funds to support the work of a contracted individual who is working at each local site regarding indicator 8. This individual addresses the data from each site's Letter of Findings and provides training based on each site's specific needs. In addition to the C8 training the CDS State IEU will continue monitoring each site showing noncompliance through desk audits, focused monitoring and on site review.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2008:

Improvement Activities	Timelines						Resources
	FFY Year when activities will occur						
	05	06	07	08	09	10	
Providing additional training to sites related to the transition process including the following protocols:	X						
• Notify the parent that transition will occur in the next 3 to 6 months.	X						
• Notify the local education agency (school district) that there will be an Early Childhood Team (ECT) meeting to address transition steps.*	X						
• Coordinate meeting date with family and school district.	X						
• Send information to the family about special education eligibility at age 3.	X						
• Proceed with steps to prepare the toddler and family for changes in service delivery.	X						
• Provide information about community resources.	X						
• Review the IFSP to document transition outcomes by age 3.	X						

Improvement Activities	Timelines						Resources
	<i>FFY Year when activities will occur</i>						
	05	06	07	08	09	10	
<ul style="list-style-type: none"> For a child whose first eligibility meeting is held after age 2 years, 6 months, the IFSP developed must include transition information. 	X						
Monitor sites for compliance and verify data and data entry.		X	X	X	X	X	Based on findings, continue to provide ongoing professional development and trainings to enhance understanding and compliance.
Expanding the data collection system to include elements specific to transition including but not limited to the following transition steps:		X	X		X	X	
<ul style="list-style-type: none"> The date of the final ECT meeting to review the IFSP for inclusion of transition needs, 		X	X				
<ul style="list-style-type: none"> The date of notification to the LEA, 		X	X				
<ul style="list-style-type: none"> Codified results of the meeting. The codes will provide references to special conditions encountered at the transition meeting in addition to the standard Part C Exit Codes. 		X	X				
Receipt of Evaluations from contracted/ employed evaluators					X	X	
IEP meetings will be set up after referral					X	X	

Improvement Activities	Timelines						Resources
	<i>FFY Year when activities will occur</i>						
	05	06	07	08	09	10	
The data system will be expanded to allow the transition portion of the IFSP to be viewed.					X	X	

Part C State Annual Performance Report (APR) for FFY 2008

Overview of the Annual Performance Report Development:

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 9: General supervision system (including monitoring, complaints, hearings, etc.) identifies and corrects noncompliance as soon as possible but in no case later than one year from identification.

Measurement:

Percent of noncompliance corrected within one year of identification:

- # of findings of noncompliance.
- # of corrections completed as soon as possible but in no case later than one year from identification.

Percent = [(b) divided by (a)] times 100.

States are required to use the "Indicator 9 Worksheet" to report data for this indicator (see Attachment A).

FFY	Measurable and Rigorous Target
FFY2008	100%
FFY	Actual Target Data for FFY2008
FFY2008	72.7%

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2008:

Statement from the Response Table	State's Response
The state must also report, in the FFY2008 APR, due February 1, 2010, on the correction of the 13 remaining findings identified prior to FFY2006.	<p>All of the findings made prior to 2006 were identified on indicator 7. Of the 13 findings, 6 have been verified as corrected, leaving 7 remaining as uncorrected.</p> <p><u>Actions Taken for Non-compliance Not Corrected:</u> Sites were monitored to verify correction of remaining noncompliance. Of the 13 findings that remained open from FFY2006 six sites have subsequently corrected their noncompliance on indicator C7 (% of infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45 day timeline). Seven sites remain to be out of compliance.</p>

	<p>Based on the uncorrected noncompliance, the following actions have been taken:</p> <ul style="list-style-type: none"> • Each of the seven sites submitted revised, more intensive corrective action plans to the CDS State IEU focusing on the outstanding noncompliance in September of 2009. • In February each of the seven sites received letters to notify them that focused monitoring, verification and training on required timelines is scheduled to occur for all sites (including those with outstanding non compliance) on April 7, 2010.⁸
	All other statements are responded to within C9.

Maine's CDS system was tasked with significant restructuring in FFY2005. The infrastructure changes that have occurred support continuity in the areas of policy, human resources, data management, and fiscal oversight. In addition to the infrastructure that is in place, The CDS State IEU oversees Indicator Improvement and the General Supervision System.

In FFY2006, the CDS State IEU Director recognized that the restructuring required the development of a General Supervision System needed to be established with all aspects of monitoring the work of the regional sites included within the structure of one overall system.

In FFY2007, the CDS State IEU, with technical assistance from NERRC, developed a pilot birth to five General Supervision System that references and builds upon the general supervision system "Big 8" developed by OSEP.

http://www.maine.gov/education/speced/cds/supervision/gsst_509.ppt. The system includes our monitoring component. The system established a mechanism to define the requirements of general supervision, an annual performance determination for each regional site on the Part C indicators, a self assessment process for each site, and the structure and support available from the CDS State IEU. The regional sites, regional boards, CDS State Level Advisory Board and the State Advisory Council have supported the system. The CDS State IEU Director and Part C/619 Policy Manager have provided numerous trainings and technical assistance to the above groups and individuals over the last year.

The CDS State IEU developed, organized, and provided the system components and all accompanying documents for utilization as of July 1, 2009. Over the last several months the CDS State IEU has worked with members of the K-20 Special Services Team to merge the Birth to Five GSST with the former 5 to 20 CIMP (Continues Improvement and Monitoring Program) process. The Birth to 20 GSST was presented for the first time at the 2009 MADSEC Fall Conference to Special Education Administrators and CDS Regional Directors from throughout the state. Implementation of the Birth to 20 system will begin in late winter of 2010. A drafted Birth to 20 Administrative Letter from the Commissioner of Education is awaiting approval to be sent out to all who are involved in the system in the very near future. The CDS website has a

General Supervision System link as a resource to all stakeholders. Any information or resource materials will be posted on the CDS and MDOE Special Services website. Lunch and Learn training sessions are scheduled for January 29, 2010 and February 12, 2010 for all Birth to 20 site directors and administrators and a webinar is scheduled in February 2010 to address a revised three to 20 Child Record Audit Form (CRAF) available at

<http://www.maine.gov/education/speced/cds/supervision/documents/CRAF.doc>

The CDS State IEU monitored each of the regional sites annually over a two year period from the spring of 2007 until the summer of 2009. All sites received a Year One Letter of Findings, followed by a Year Two Letter of Findings indicating corrections of identified noncompliance as of June 30, 2009. All letters of findings are located at:

<http://www.maine.gov/education/speced/cds/monitoring/index.html>.

The correction of noncompliance identified in FFY2007 is outlined in the following table.

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY2007 (7/1/07 to 6/30/08)	(a) # of Findings of noncompliance identified in FFY2007 (7/1/07 to 6/30/08)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
1. Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner.	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	12	12	1
	Dispute Resolution: Complaints, Hearings			
2. Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	6	6	2
	Dispute Resolution: Complaints, Hearings			

3. Percent of infants and toddlers with IFSPs who demonstrate improved outcomes	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other			
	Dispute Resolution: Complaints, Hearings			
4. Percent of families participating in Part C who report that early intervention services have helped the family	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other			
	Dispute Resolution: Complaints, Hearings			
5. Percent of infants and toddlers birth to 1 with IFSPs	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other			
6. Percent of infants and toddlers birth to 3 with IFSPs	Dispute Resolution: Complaints, Hearings			
7. Percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline.	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	13	13	1
	Dispute Resolution: Complaints, Hearings			

8. Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including: A. IFSPs with transition steps and services;	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	10	10	10
	Dispute Resolution: Complaints, Hearings			
8. Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including: B. Notification to LEA, if child potentially eligible for Part B	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other			
	Dispute Resolution: Complaints, Hearings			
8. Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including: C. Transition conference, if child potentially eligible for Part B.	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	14	14	1
	Dispute Resolution: Complaints, Hearings			
OTHER AREAS OF NONCOMPLIANCE:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	15	99	97

	Dispute Resolution: Complaints, Hearings			
OTHER AREAS OF NONCOMPLIANCE:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other			
	Dispute Resolution: Complaints, Hearings			
OTHER AREAS OF NONCOMPLIANCE:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other			
	Dispute Resolution: Complaints, Hearings			
OTHER AREAS OF NONCOMPLIANCE:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other			
	Dispute Resolution: Complaints, Hearings			
Sum the numbers down Column a and Column b		154	112	
Percent of noncompliance corrected within one year of identification= Note: [column (b) sum divided by column (a) sum] times 100		72.72727273		

Letters of Findings were issued in June of 2009 to each regional site based upon a focused monitoring for C8 compliance requirements. Corrective action plan were outlined for each site regarding areas of noncompliance identified in 2007 and not corrected within one year of

identification. A sample letter is located at

<http://www.maine.gov/education/speced/cds/monitoring/documents/sampleletterfindings.doc>.

Each regional site has received two years of on-site monitoring to evaluate performance. Utilizing the data on July 1, 2009, the CDS State IEU implemented the Response to Determination portion of the GSST system. The regional sites received determination levels for each indicator. Technical assistance was provided to each site regarding the requirements to be completed based on their determination level.

Since implementation of GSST, effective July 1, 2009, all CDS regional sites are required to complete a self assessment and identify areas of improvement needed in addition to any outstanding work required to complete their corrective action plans based on their Letters of Findings. In FFY2008, The CDS State Level Advisory Board reviewed SPP indicators at each meeting. This provided assurance regarding knowledge at the management level to support each site in their efforts to reach targets and to complete their self assessment and improvement plans. There is clarity on the part of all that noncompliance is not acceptable. The B-20 GSST is designed to identify issues, assist with and oversee local work towards improvement on any profile indicator determinations that does not meet requirements. This is addressed through the response to determination portion of the CDS GSST (http://www.maine.gov/education/speced/cds/supervision/gsst_109.ppt). This will involve self assessment, internal monitoring, and increasing levels of interaction between the site and the CDS State IEU (<http://www.maine.gov/education/speced/spp/index.html>).

The CDS State IEU has proposed an organizational restructuring. The reorganization is necessary due to budget cuts the MDOE has sustained for FFY2011. Reorganization planning, guided by a group of local site board members and local CDS directors, has approached the system changes from both a fiscal and programmatic view. The draft proposal which has been presented to the Education Committee of the legislature, the State Level Advisory Board, and MACECD, the state's oversight committee for IDEA, supports a creative use of personnel in the system to support the work of the local regional sites and to serve as bridges to the systems growth on OSEP indicators within the GSST. The organizational restructuring PowerPoint is available at <http://www.maine.gov/education/speced/cds/supervision/documents/CDSSystemProposedRestructure.pdf>

Verification of Correction of Noncompliance consistent with OSEP Memorandum 09-02

As required by OSEP Memorandum 09-02, prior to issuing notification that a finding of noncompliance was corrected, Maine verified that each CDS site with noncompliance identified in FFY 2007:

1. Was correctly implementing the specific regulatory requirements. Maine verified this by collecting subsequent data related to any regulatory requirement where noncompliance was identified. The amount of subsequent data collected was

dependent on many factors including the level of noncompliance, historical data from the CDS site on compliance with the specific requirement and the number of children served in the CDS site. Maine required that subsequent data show compliance (100%); and

2. Had corrected each individual case of noncompliance, unless the child was no longer within the jurisdiction of the CDS site. Maine reviewed child records, identified as having noncompliance, to ensure correction of each individual case of noncompliance. For timeline-specific requirements (e.g. Indicators 1, 7 and 8), Maine reviewed the file to ensure that the requirement was met (e.g. the child received an evaluation, IFSP or transition conference), although not timely.

Actions Taken for Noncompliance Not Corrected:

For FFY 2007 findings remaining open, the following activities were taken:

- Reporting requirements were increased.
- Data was reviewed in the Case-e data system several times.
- Corrective Action plans were required.
- Sites with outstanding areas of noncompliance were required to include goals in ARRA applications to address these areas.
- Sites were provided training on Transition by a CDS State IEU consultant.
- Weekly webinars were conducted with individuals who routinely enter and use the Case-e data system. These webinars were interactive and provided an opportunity for clarifying conversations between regional site personnel and the CDS State IEU Data Manager.
- Lunch and Learn sessions were held to address timeline requirements.
- Trained on the requirements of Administrative Letter's Number 20 to track timelines from referral to time of meeting.
- Compliance timelines and required correction of remaining noncompliance were reinforced to all CDS personnel and contract providers by all CDS State IEU personnel, CDS State IEU contracted individuals who provide regional site training, and by the Regional Site Directors.
- The CDS State IEU contracted with two individuals to provide training to regional sites in the areas of uncorrected noncompliance.

For "Other Areas of Noncompliance" indicated in C9 table the areas remaining have been topics in trainings provided to staff and sites individually, through Lunch and Learn sessions and at CDS State IEU held trainings. This information has been reviewed through the Child Record Audit Form in self audits, focused monitoring and site monitoring. Monitoring of these areas is ongoing.

Summary of Actions Taken if Noncompliance Not Corrected for indicators C1, C7, and C8c:

For FFY 2007 findings remaining open, the following activities were taken:

Indicator C1

- Sites submitted reports of unmet needs monthly to the CDS State IEU.
- Data was reviewed by the CDS State IEU.
- Corrective Action Plans were required.
- Sites were required to include goals in ARRA applications to address areas with outstanding noncompliance.
- Weekly webinars were conducted with individuals who routinely enter and use the Case-e data system. These webinars were interactive and provided an opportunity for clarifying conversations between regional site personnel and the CDS State IEU Data Manager.
- The CDS State IEU contracted with two individuals to provide training to regional sites in the areas of uncorrected noncompliance.

Indicator C7

- Reporting requirements were increased.
- Data was reviewed in the Case-e data system at several times.
- Corrective Action plans were required.
- Sites with outstanding areas of noncompliance were required to include goals in ARRA applications to address these areas.
- Sites were provided training on Transition by a CDS State IEU consultant.
- Weekly webinars were conducted with individuals who routinely enter and use the Case-e data system. These webinars were interactive and provided an opportunity for clarifying conversations between regional site personnel and the CDS State IEU Data Manager.
- Lunch and Learn sessions were held to address timeline requirements.
- Trained on the requirements of Administrative Letter Number 20 to track timelines from referral to time of meeting.
- Compliance timelines and required correction of remaining noncompliance were reinforced to all CDS personnel and contract providers by all CDS State IEU personnel, CDS State IEU contracted individuals who provide regional site training, and by the Regional Site Directors.
- The CDS State IEU contracted with two individuals to provide training to regional sites in the areas of uncorrected noncompliance.

Indicator C8c

- Reporting requirements were increased.
- Data was reviewed in the Case-e data system several times.
- Sites were required to submit Corrective Action plans indicating how they intended to track and supervise the requirements of transition.
- Sites with outstanding areas of noncompliance were required to include goals in ARRA applications to address these areas.
- Sites were provided training on Transition by a CDS State IEU consultant.

- Lunch and Learn sessions were held to address transition requirements.
- Administrative Letter Number 16 written to provide education, training and understanding of the required actions needs to take place in the transition process.
- The CDS State IEU contracted with two individuals to provide training to regional sites in the areas of uncorrected noncompliance.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2008:

Improvement Activities	Timelines						Resources
	FFY Year when activities will occur						
	05	06	07	08	09	10	
Training and professional development opportunities will be planned to answer needs identified through the site file reviews.	X	X			X	X	
The focused monitoring plan for the Child Development Services System will be developed and will be implemented starting in the Autumn of 2006. This includes:	X	X					
• The transition between Part C and Part B (619)	X	X					
• Documentation and the process in regard to ESY determinations that are not consistent from site to site	X	X					
• Use of Prior Written Notice	X	X					
• Consistency of IFSP / IEP writing	X	X					
• Tracking dates of service and current service providers	X	X					
In April of 2005, MDOE staffed a monitoring position for Part C and Part B 619. In the summer of 2005, all 16 sites received on site file reviews to ascertain a baseline for needed training for the coming year.	X						

Improvement Activities	Timelines						Resources
	<i>FFY Year when activities will occur</i>						
	05	06	07	08	09	10	
Utilization of contracted consultants to provide technical assistance to sites regarding all facets of Part C required.					X	X	

Part C State Annual Performance Report (APR) for FFY 2008

Overview of the Annual Performance Report Development:

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 10: Percent of signed written complaints with reports issued that were resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.

Measurement:

Percent = [(1.1(b) + 1.1(c)) divided by 1.1] times 100 = $[(1+1)/2]*100 = 100$

Table 4, Section A

SECTION A: WRITTEN, SIGNED COMPLAINTS	
(1) Total number of written, signed complaints filed	5
(1.1) Complaints with reports issued	2
(a) Reports with findings of noncompliance	2
(b) Reports within timeline	1
(c) Reports within extended timelines	1
(1.2) Complaints pending	0
(a) Complaints pending a due process hearing	0
(1.3) Complaints withdrawn or dismissed	3

FFY	Measurable and Rigorous Target
FFY2008	100% of signed written complaints with reports issued were resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.
FFY	Actual Target Data for FFY2008
FFY2008	100%

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2008:

This measure met the target. 100 percent of signed written complaints with reports issued were resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint. One of the two complaints with reports issued was resolved within timelines without extension. Cases extended due to exceptional circumstances met the guidelines provided by the Due Process Office for consideration of requests for extension.

As had been planned in the State Performance Plan, the Due Process Office (DPO) and the stakeholder group review cases monthly for closure timelines and consideration of support requirements. The State Performance Plan stakeholder group reviews case summaries and outcomes with members of the DPO to discuss procedural safeguards, support requirements, and opportunities for systemic improvement. The summaries are also posted on our website

(<http://www.state.me.us/education/speced/dueprocess/2009Complaints.html>) in redacted form for parents and others in the public to review (note: 16 cases are summarized on the website; 14 are Part B cases, but 09.020C and 09.086C are Part C cases). Data reports of case progress and follow-up actions are produced interactively by DPO personnel using the case management database for use in their daily activities and in their presentations to stakeholder and interested parties. All of these activities have combined to heighten awareness of the timeline requirement and have improved case management through appropriate visibility and review.

The Due Process Website has been significantly upgraded this year to provide a number of new documents and technical assistance to the public. Complaint investigation reports, procedures, policies and forms are available electronically on the due process website:

<http://www.state.me.us/education/speced/dueprocess/index.htm>

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2008:

No revisions.

Part C State Annual Performance Report (APR) for FFY 2008

Overview of the Annual Performance Report Development:

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 11: Percent of fully adjudicated due process hearing requests that were fully adjudicated within the applicable timeline.

Measurement:

Percent = [(3.2(a) + 3.2(b)) divided by 3.2] times 100 **No hearing requests**

Table 4, Section C

SECTION C: HEARING REQUESTS	
(3) Total number of hearing requests filed (for all States)	0
(3.1) Resolution meetings (applicable ONLY for states using Part B due process hearing procedures)	0
(a) Written settlement agreements reached through resolution meetings	0
(3.2) Hearings (fully adjudicated) (for all states)	0
(a) Complete EITHER item (1) OR item(2), below as applicable.	-9
(1) Decisions within timeline - Part C procedures	-9
(2) Decisions within timeline - Part B procedures	0
(b) Decisions within extended timeline (applicable ONLY if using Part B Due process hearing procedures)	0
(3.3) Resolved without a hearing (for all States)	0

FFY	Measurable and Rigorous Target
FFY2008	100% of fully adjudicated due process hearing requests will be fully adjudicated within the applicable timeline.
FFY	Actual Target Data for FFY2008
FFY2008	No data to report

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2008:

No cases were initiated, so result could not be calculated.

The Due Process Website has been significantly upgraded this year to provide a number of new documents and technical assistance to the public. Hearing reports, policies and forms are available electronically on the due process website:

<http://www.state.me.us/education/speced/dueprocess/index.htm>

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2008:

No revisions.

Part C State Annual Performance Report (APR) for FFY 2008

Overview of the Annual Performance Report Development:

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator12: Percent of hearing requests that went to resolution sessions that were resolved through resolution session settlement agreements (applicable if Part B due process procedures are adopted).

Measurement:

Percent = (3.1(a) divided by 3.1) times 100 = **No hearing requests**

Table 4, Section C

SECTION C: HEARING REQUESTS	
(3) Total number of hearing requests filed (for all States)	0
(3.1) Resolution meetings (applicable ONLY for states using Part B due process hearing procedures)	0
(a) Written settlement agreements reached through resolution meetings	0
(3.2) Hearings (fully adjudicated) (for all states)	0
(a) Complete EITHER item (1) OR item (2), below as applicable.	-9
(1) Decisions within timeline - Part C procedures	-9
(2) Decisions within timeline - Part B procedures	0
(b) Decisions within extended timeline (applicable ONLY if using Part B Due process hearing procedures)	0
(3.3) Resolved without a hearing (for all States)	0

FFY	Measurable and Rigorous Target
FFY2008	0% of resolution sessions will result in settlement agreements
FFY	Actual Target Data for FFY2008
FFY2008	No data to report

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2008:

No cases were initiated, so result could not be calculated.

The Due Process Office produced "Resolution Sessions, A Guide for Parents and Educators" to help parents and educators better understand the resolution session as one of the ways to resolve special education disputes. The handbook will be provided to individuals requesting a due process hearing.

The Due Process Website has been significantly upgraded this year to provide a number of new documents and technical assistance to the public. Resolution session document and forms are available electronically on the due process website:

<http://www.state.me.us/education/speced/dueprocess/index.htm>

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2008:

No revisions.

Part C State Annual Performance Report (APR) for FFY 2008

Overview of the Annual Performance Report Development:

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 13: Percent of mediations held that resulted in mediation agreements.

Measurement:

Percent = $[(2.1(a)(i) + 2.1(b)(i)) \text{ divided by } 2.1] \text{ times } 100 = [(0+3)/3] * 100 = 100$

Table 4, Section B

SECTION B: MEDIATION REQUESTS	
(2) Total number of mediation requests received	6
(2.1) Mediations held	3
(a) Mediations related to hearing requests	0
(i) Mediation agreements related to hearing requests	0
(b) Mediations not related to hearing requests	3
(i) Mediation agreements not related to hearing requests	3
(2.2) Mediations not held (including pending)	3

FFY	Measurable and Rigorous Target
FFY2008	80% of mediations held that resulted in mediation agreements.
FFY	Actual Target Data for FFY2008
FFY2008	100%

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2008:

This measure exceeded the target.

When a dispute resolution request is received for a complaint investigation, hearing or expedited hearing, and the initiating party has indicated an unwillingness to participate in mediation, Due Process Office staff follow up with the initiating party to discuss the benefits of mediation. Information is provided on the difference between mediation and an IEP meeting, the expertise, knowledge and objectivity of the mediators on the DPO roster and the wide scope of issues that can be mediated, and the constructive/positive effect participation in mediation can have on the communication between the parties.

The Due Process Website has been significantly upgraded this year to provide a number of new documents and technical assistance to the public. A mediation handbook is available

electronically on the due process website:

<http://www.state.me.us/education/speced/dueprocess/index.htm>

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2008:

No revisions.

Part C State Annual Performance Report (APR) for FFY 2008

Overview of the Annual Performance Report Development:

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 14: State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.

Measurement:

State reported data, including 618 data, State performance plan, and annual performance reports, are:

- a. Submitted on or before due dates (February 1 for child count and settings and November 1 for exiting and dispute resolution); and
- b. Accurate, including covering the correct year and following the correct measurement.

States are required to use the "Indicator 14 Data Rubric" for reporting data for this indicator (see Attachment B).

FFY	Measurable and Rigorous Target
FFY2008	100% of data submitted will be on time and accurate.
FFY	Actual Target Data for FFY2008
FFY2008	100% (see rubric, next pages)

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2008:

Valid and accurate 618 data were submitted on time and responses to data questions were provided where required. FFY 2007 APR was submitted on time with accurate data for all indicators.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2008:

No revisions.

Part C Indicator 14 Data Rubric

Indicator 14 - SPP/APR Data			
APR Indicator	Valid and reliable	Correct calculation	Total
1	1	1	2
2	1	1	2
3	1	1	2
4	1	1	2
5	1	1	2
6	1	1	2
7	1	1	2
8A	1	1	2
8B	1	1	2
8C	1	1	2
9	1	1	2
10	1	1	2
11	1	1	2
12	1	1	2
13	1	1	2
		Subtotal	30
APR Score Calculation	Timely Submission Points (5 pts for submission of APR/SPP by February 1, 2010)		5
	Grand Total		35

Indicator 14 - 618 Data					
Table	Timely	Complete Data	Passed Edit Check	Responded to Date Note Requests	Total
Table 1 – Child Count Due Date: 2/1/09	1	1	1	1	4
Table 2 – Settings Due Date: 2/1/09	1	1	1	1	4
Table 3 – Exiting Due Date: 11/1/09	1	1	1	NA	3
Table 4 – Dispute Resolution Due Date: 11/1/09	1	1	1	N/A	3
				Subtotal	14
			Weighted Total (subtotal X 2.5)		35
Indicator # 14 Calculation					
			A. APR Total	35	35
			B. 618 Total	35	35
			C. Grand Total	70	70
Percent of timely and accurate data = (C divided by 70 times 100)			(C) / (70) X 100 =		100